आ:4119
आम्नाय-ग्रन्थालय,
भरतनिधि, करौंदी
वाराणसी-5

Eastern and Western Concepts of Mode

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Eastern and Western Concepts of Mode

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ाय–ग्रन्थालय,
निधि, करौंदी
वाराणसी-5

Harold S. Powers, Chairman
Charles M. Atkinson
Judith Becker
Jürgen Elsner
Bernhard Meier
Rulan Chao Pian
Prem Lata Sharma

Introduction: Mode and Modality

Harold S. Powers

When I was asked to take on the chairmanship of this session, I anticipated that there might be a lot of proposals coming in. When that proved to be the case, I felt that the choice among so many interesting topics would have to be made on principle. The principle I used was simple: I decided that the expression "concepts/conceptions/Begriffe" of the Program Committee's title should be taken seriously, both as to its sense and as to its plurality. First, I looked for topics that included consideration of "concepts" as well as of music; that is, I ruled out topics that dealt with mode or modality as a property ascribed to some musical repertory not by the musical culture but only by the scholarly analyst. Second, I tried to see to it that a goodly number of such "concepts" was represented, from both East and West, as specified in the Program Committee's title. Finally, the "concepts" that have been deemed modal by scholars are very diverse, often even contradictory. Therefore I felt it best to look for specialists who wished to deal with particular musical cultures, and let them make their own definitions. That is, I avoided proposals whose main thrust from the beginning was to draw cross-cultural comparisons. It is our joint hope here and now to focus on trying to reach reasonably clear understandings of individual "concepts" as applied to individual musical repertories. If we find we can do that, then we would like cautiously to look for analogies. To be sure, some sort of paradigm is necessary for any scientific discourse, but I will try to provide that myself, and only as a framework for my colleagues. I shall make some cross-cultural observations from time to time, but they will be either very abstract or firmly negative.

*

The term "mode" is applied so widely and in musical contexts so diverse today that it has become nearly empty of content. A colleague wrote me recently that he tells his students: "comprendre les modes, c'est comprendre la musique elle-même." This is no doubt true–but a term of such imperial comprehensiveness is a term that is vacuous. Even among us here today, our habitual usages have ranged widely. Some tend to take the term "mode" for granted, as a music-theoretical commonplace that needs neither definition nor comment. Others tend to avoid the term altogether, except as it has been natively used in the musical cultures from which it originated, that is, in the Latin Christian West before the rise of musicological self-consciousness.

Two of the questions before us, then, might be these. First, in its native context, what have been some of the senses of the musical term "mode" and its closely associated companion term "tone?" Second, to what extent, and in what ways, can such a culture-bound notion as "mode" be turned into a scientific concept useful in the general study of musical cultures? And going one step further, should a term such as "mode" perhaps be discussed cross-culturally only in conjunction with musical cultures that have comparable terms with a similarly wide scope? That is, should we compare the applications of "mode" and "tone" in Europe only with applications of, let us say, *"maqām"* in the Islamic world? or of *"tiào"* and its equivalent readings in the East Asian world? Or should we follow the tradition of the folksong investigators? that is, develop an abstract concept that we will call "mode," deriving it purely by observation and generalization, and eventually defining it rigorously, without reference to any specific musical culture.

I doubt we shall ever agree on answers to such questions as these. But we can probably agree that "mode," and terms which "mode" has been used to translate, at some point touch on pitch and pitch-relationships. Of course, that says little more than "comprendre la musique elle-même"–but perhaps I can narrow it. Let us imagine a continuum of pitch determination–Mantle Hood calls it the "general-to-specific line" of "tonal stuff." At one extreme of this continuum for any musical culture would be found the timeless collection of all possible pitch-relationships that there can be; at the other extreme would be found the particular musical events. The timeless collection can be designated by such terms as *Gebrauchsleiter* (after Lachmann) or *échelle générale* (after d'Erlanger). The particular musical event is a "piece"–a "rendition"–a "version"–a "realization"–at any rate, the pitch-related aspects of a performance that can only occur at some particular time and place. Somewhere in between these extremes lie various stages of pitch determination that we call "modal."

Modal entities, in short, are more determined than musical scales, but less determined than fixed and memorized compositions. Even at their most general, what we call "modes" are selections of specific scale-types out of a global collection of possible pitches; even at their most specific, "modes" are at least tune-types which can be embodied in more than one individual tune.

At the point in time where what I just called "the rise of musicological self-consciousness" began in Europe–say in the half-century around the year 1800–the term "mode" was used in a very limited sense. It meant a scalar collection of pitch-classes with a governing tonic. It referred either to major/minor tonalities or to white-key octave-species with imitation Greek names. The real expansion of sense for the term "mode" began, I think, in 1913, with the appearance of the article on the Syrian octoechos by Jeannin and Puyade. Part II begins:

> "La modalité d'une pièce musicale est déterminé principalement par la disposition des intervalles sur l'échelle. Mais, dans le cas où la disposition des intervalles est la même pour plusieurs modes, il y a d'autres moyens empiriques de distinguer la modalité d'une mélodie en particulier: retour de certains cadences ou de certaines formules mélodiques, prépondérance de certain degrés, dominantes, enfin notes finales."[1]

In the same year 1913 Idelsohn's well-known article on *maqām* appeared, in which he drew a clear distinction between *"maqām"* and "Kirchenmodus":

> "Im weitern Sinne bedeutet *Maqām* in der Musik soviel wie Musikweise, d.h. eine Musikart, die sich ihr eigentümlicher Tonstufe und Motivgruppen bedient. Man darf jedoch den Begriff Maqām keinesfalls mit ‚Kirchenmodus' oder gar ‚Tonart' identifizieren. [And shortly thereafter, in the same passage, he says:] ist im Maqām beider, Tonleiter und Tonweise, einbegriffen . . . [and further on] Jeder Maqām hat seine ihm eigentümlichen Tonreihen und Motive."[2]

In short, Idelsohn's understanding of *"maqām"* scarcely differed from what Jeannin and Puyade were observing about the "modes" of the Syrian octoechos. Indeed, in 1929, Idelsohn paraphrased his own definition of *maqām*, to make a definition of "mode" for his book *Jewish music*. In such ways as that, the two studies of the year 1913 eventuated in the redefinitions of mode generally accepted today. Today, aspects of both scale-type and tune-type are incorporated together in sophisticated definitions of the word "mode."

In all our modern redefinitions, however, we have overlooked a very fundamental difference that exists between, for example, the set of modal entities that Jeannin and Puyade were discussing and Idelsohn's *maqāmāt*. When we talk about an octoechos–Syrian or Byzantine or Gregorian–we are talking about a closed and symmetrical system which comprises a relatively small number of entities. The *maqāmāt* of traditional Arabic music, conversely, are an open-ended collection comprising an indefinite and much larger number of entities. Whatever may be the similarities in ways by which concrete musical events are derivable from abstract musical types, the systems of Syrian liturgical modes and of Arabic *maqāmāt* are of very different sorts. And the same is true for many other generalizations across cultures that have been made by way of the composite modern definitions of "mode." For instance, I have never seen much sense in explaining Indian *rāga* and Javanese *paṭet* as comparable instances of some phenomenon called "mode" or "modality," even if only because of their numbers. There are and can be only a very small number of Javanese *paṭet*, just as there are and can be only a small number of Church modes. Indian *rāgas*, on the other hand, like Arabic *maqāmāt*, number in the dozens and even hundreds.

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[1] Jeannin and Puyade, *Oriens christianus* N.S. III (Leipzig, 1913), p.277.
[2] (Idelsohn), *SIMG* XV (1913), pp. 11–12.

Thus to the scale-type versus tune-type aspects of mode one must add another conceptual polarity. To oversimplify: there can be a closed and symmetrical modal *system* which includes a relatively small number of entities; or there can be an open-ended and expandable modal *collection* comprising a large and indefinite number of entities.

To this polarity one can add yet another, frequently correlated with it. The entities in closed systems of modes tend to be categories into which musical items are classified–sometimes by rather Procrustean methods. The entities in open-ended modal collections, on the other hand, tend to function as definite musical stereotypes or norms, which are used as sources and guides for composition and performance.

To these three polarities–scale-type versus tune-type, closed system versus open collection, category versus stereotype–I could add more, but the only one which is often correlated with these three is the familiar opposition of theory and practice. I think in all four cases here I am talking about clusterings of opposed features which could perhaps simply be subsumed under the general terms "mode" on the one hand and "modality" on the other. That is, we could conceive of a "mode" as tending to be a member of a closed and limited system of theoretical categories, while a "modality" tends to be a member of an open and expandable collection of performable musical types. But whether these two aspects of "tonal stuff" belong together or not, we shall have to consider them here as though they did. You will perhaps have noticed that the English and French titles for our session mention only "concepts of mode" and "conceptions modales." Our German title, to the contrary, speaks clearly of "Modalitäts-Begriffe." So we shall try to do justice to both.

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Of course, a musical culture may well provide consciously for both parts of my "mode"/"modality" antithesis. In India, for instance, every known present or past canonical system of music minimally comprises both a set of superordinate categories and a much larger collection of subordinate melodic types. What the criteria for inclusion in a class or for relationships among types may be is quite another matter; but the clear structure of a doubly articulated hierarchic system is always to be found. In chant theory of the Latin Middle Ages likewise, there is a doubly articulated system. To be sure, the emphasis in chant theory is heavily on the closed symmetrical system of categories–the "octoechos" –but one can confidently infer that the monks and clergy were perfectly able to deal with the "modality" of the chant–that is, its melody-type aspects–as much as they needed to do so. The superordinate classification of office antiphons into modal categories was always accompanied by a subordinate classification of the antiphons according to the psalm-tone differences–the different endings of a psalm-tone originally necessary to connect psalm and antiphon together in performance. The choice of psalm-tone difference was in turn entirely contingent on aspects of the melodic type at the beginning of the antiphon to follow. The office antiphons, therefore, with their eight "tones" at one level and dozens of "difference"-classes at the next, are a fine instance of a doubly articulated musical repertory. There is a superordinate and symmetrical system of categories–the octoechos–and a subordinate open-ended collection based on aspects of melodic type–the "difference"-classes.

The evidence in medieval theoretical sources for the recognition of "modalities" in the Gregorian antiphoner–as opposed to "modes"–is strongest precisely where the eightfold system of modal categories worked least well. The presence of anomalies in a theory naturally calls forth careful pedagogical explanation and theoretical justification. This in turn reveals much of how people actually perceived the phenomena being explained. One of the ways in which chant theory tried to handle discrepancies between rigid modes and refractory modalities was to make use of an existing tradition that the superordinate system itself might after all have been expandable.

Powers: Charles Atkinson has been much occupied recently with the medieval tradition for expanding the Gregorian octoechos with extra modes–the "parapters" and "toni medii"–as regards both their history and their implications. He is representing the Middle Ages on our mode panel.

The *Parapteres*: A Perspective on Changes in the Western Concept of *Tonus* in the Ninth and Tenth Centuries

Charles M. Atkinson

One of the chief concerns of theorists during the ninth through the twelfth centuries was the classification of liturgical chant according to a system of eight Tones or modes. In its final form, the system consisted of eight categories defined by species of octave, fifth, and fourth, by ambitus, and by finalis. The modal categories themselves were coordinated with a system of eight psalm tones and their *differentiae*.

Far from being an integral scheme of classification fully operative from early Christian times, the modal system just described was the product of several centuries of evolution. That the eight-Tone or -mode scheme was not comprehensive enough to encompass the entire repertoire of chant is suggested by the fact that several writers discuss four extra Tones in addition to the usual eight. Investigation of these extra Tones provides some telling insights into changes in the concept of *tonus* and developments in the modal system itself during the ninth and tenth centuries.

One of the most frequent designations for extra Tones is the word *parapteres*. It often appears in apposition with the designation *medii toni*, referring to the four supplementary Tones discussed by some writers in addition to the usual eight. A list of sources mentioning *parapteres* or *medii toni*, along with others discussing extra Tones, appears in the Table.

Most modern writers have viewed the *parapteres* as supplementary modes, some even seeing them as precursors of the twelve modes of Glareanus. It should be pointed out, however, that the *parapteres* or *medii toni* are never equated with either *tropi* or *modi* in the manner of the synthesis mentioned by Boethius in his discussion of "modes which they call tropes or tones." I therefore prefer to follow medieval practice and use the word "Tone," rather than "mode," in conjunction with the *parapteres*.

Not only are the *parapteres* not discussed in terms of *tropi* or *modi*, they are also not defined by species of *diapason*, *diapente*, or *diatessaron*, nor–with but one exception–are they discussed in terms of *ambitus*. Instead, the treatment of the *parapteres*, suggests that they are defined by melodic formulae and finalis (in this perhaps similar to the Byzantine ἦχοι), and further, that they are related to the Tones for psalmodic recitation in the Western church.

The term parapter may be linked to the Greek παράπτερον, a word which occurs infrequently in later medieval Byzantine writings, where it signifies the wing of a church. παράπτερον does not, to my knowledge, occur in ancient Greek or Byzantine musical writings, although its root, πτέρον, is found in the fourteenth-century MS of the *Hagiopolites*, denoting a type of musical instrument. The absence of the term παράπτερον from Byzantine treatises discussing the ἦχοι or even the ancient Greek τόνοι suggests that its use in the West may have been of purely Western origin. But since the earliest extant Byzantine treatises date from much later than their counterparts in the West, an early Eastern use of the term in conjunction with the ἦχοι cannot be ruled out.

The earliest reference to extra Tones occurs in the eighth chapter of Aurelian's *Musica disciplina*. After having described the "eight Tones of music," Aurelian states that some singers claimed they could not accomodate certain antiphons with these Tones. He then relates that Charlemagne had added four extra Tones to the normal eight, whose origins he assigns to the Greeks. Aurelian goes on to say that even though such Tones had been invented they were of no use, since "melody always reverts to the first eight of them."[1]

The most extensive discussions of *parapteres* or *medii toni* occur in the Ps-Hucbald *De modis* and in the anonymous Vatican *De tonis*. The author of the first of these supplies a Latin derivation and explanation of the word *parapter*: "[They are] called *parapteres* because they prepare a path [*paro, -are* + *iter*] for descending into the verses in antiphons."[2] Questionable though this derivation itself may be, its emphasis upon the juncture between an antiphon and its verse is important. Along with this explanation, the author provides a more satisfactory musical description by saying that the *parapteres* "are exemplified by the lesser antiphons, especially from the psalms, which are not ended in the same way that they began."[3] He then describes each *parapter* in terms of its modulatory characteristics, after providing an intonation formula for each.

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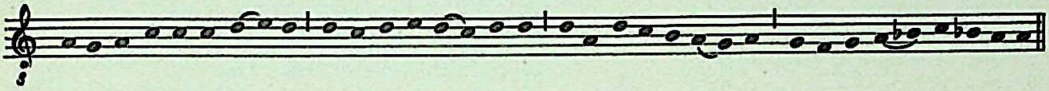
[1] GS I, p.42.
[2] GS I, p.149.
[3] GS I, p.149.

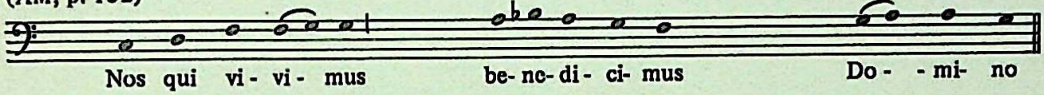
Investigation of the examples cited in *De modis*, as preserved in practical sources, shows that for the most part they do behave as described and that they almost invariably presented classificational difficulties to singers. The antiphons of the third *parapter* provide the most clear-cut example. The chants of this *parapter*, exemplified by *Benedicta tu in mulieribus, Rorate caeli*, and others, are said to begin in the seventh Tone and end in the fourth. As shown by *Rorate caeli* (Example 1) the opening melodic phrase of these antiphons is indeed characteristic for chants of the seventh Tone, but the B-flats of the concluding phrase impose a deuterus ending. This melody is Gevaert's Thème 29, an example of which may be "found on almost every page of the Antiphoner."[4] Its initial formula is identical with that of the *Nos qui vivimus* family (Example 2), characteristic of tetrardus antiphons.

Example 1: *Rorate caeli* (AM, p. 213)

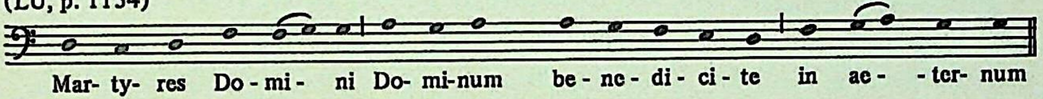


Example 2: *Nos qui vivimus* Antiphons

Nos qui vivimus
(AM, p. 132)



Martyres Domini
(LU, p. 1154)


Mar- ty- res Do - mi - ni Do- mi-num be - ne - di - ci - te in ae - - ter- num

Most practical sources assign these chants to the fourth Tone, but their theoretical justification presented difficulties that still have not been completely overcome. The Solesmes *Antiphonale monasticum* (1934) provides a special recitation Tone (the *quartus modus "alteratus"*) for antiphons of this type. This use of a special psalm Tone does have a historical precedent: The *Commemoratio brevis* supplies two special Tones for the verses of *Benedicta tu in mulieribus, Ex Aegypto vocavi*, "and others like these."[5]

But it is the antiphons of Ps-Hucbald's fourth *parapter* that reveal themselves as exemplars par excellence of the *parapteres*, being cited in virtually all of the sources listed in the Table. These are the antiphons of the *Nos qui vivimus* family, Gevaert's Thème 28 (see Example 2). The opening phrase is characteristic for tetrardus chants (like Gevaert's Thème 29, discussed above), but the conclusion implies protus. Even in the ninth century the verses of these antiphons were being sung to what Aurelian called a *"Tonus neophytus"*–a psalm Tone soon thereafter labelled *"Tonus peregrinus."*

Investigation of the remaining sources not only confirms a link between the *parapteres* and the *Tonus peregrinus*, but also reveals that the principal unifying trait of antiphons exemplifying the *parapteres* is that they begin in one Tone and end in another. A short treatise that first appears in the Leipzig manuscript of Regino's tonary[6] lists four *"paracteres"* (*sic*); *Nos qui vivimus, Crucem tuam, Et respicientes*, and *O mors ero*.[7] Here, *Nos qui vivimus* is confirmed as a *parapter* example *par excellence*, and all three of the other antiphons exemplifying specific *parapteres* display the modulatory feature mentioned in *De modis*. Confirmation of the connection between the *parapteres* and the antiphons of

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[4] F. A. Gevaert, *La Mélopée antique dans le chant de l'église latine* (Ghent, 1895–96), p. 322.

[5] GS I, p. 217.

[6] Leipzig, Universitätsbibliothek, Rep. I., p. 93.

[7] See Peter Wagner, "Zur mittelalterlichen Tonartenlehre," *Festschrift Guido Adler* (Leipzig, 1930), p. 29, and M. Huglo, *Les tonaires* (Paris, 1971), pp. 80–81.

TABLE

Theoretical Sources

Author/Title	Date	Edition	Term
Aurelianus Reomensis/ *Musica disciplina*	ca. 843	L. Gushee, *Aurelian of Réôme: Musica disciplina*. Corpus Scriptorum de Musica, 21 (Rome, 1975); and M. Gerbert, *Scriptores ecclesiastici de musica* (St. Blasien, 1784; repr. Milan, 1931), I, 28–63	neophytus tonus
Remigius Autissiodorensis/ Commentary on Book IX of Martianus Capella, *De nuptiis Philologiae et Mercurii*	ca. 850	C. Lutz, *Remigii Autissiodorensis Commentum in Martianum Capellam* (Leiden, 1962); and M. Gerbert, *Scriptores*, I, 63–94.	paracterica
Anon./*Commemoratio brevis de tonis et psalmis modulandis*	ca. 900	M. Gerbert, *Scriptores*, I, 213–29; and H. Schmidt, *Musica enchiriadis* (Munich, forthcoming)	novissimus tonus
Ps. Hucbald/*De modis*	10th c.	M. Gerbert, *Scriptores*, I, 149	parapter
Anon./*De tonis*	11th c.	P. Wagner, "Un piccolo trattato sul canto ecclesiastico," *Rassegna gregoriana* III (1904), 481–84	moesi
Ps. Odo/*De musica* (supplementary fragments)	11th c.	M. Gerbert, *Scriptores*, I, 265–84	parapter
Berno Augiensis/*Prologus in tonarium*	ca. 1015	M. Gerbert, *Scriptores*, II, 62–79	medii toni
Anon./Paris, Bibliothèque Nationale, MS lat. 7211	13th c.	L. Gushee, "The *musica disciplina* of Aurelian of Réôme," Yale University dissertation, 1962	medii toni

Tonaries

Manuscript	Date	Edition	Term(s)
Leipzig, Universitätsbibliothek, MS Rep. I. 93	10th c.	P. Wagner, "Zur mittelalterlichen Tonartenlehre," *Festschrift Guido Adler* (Leipzig, 1930), 29–32; and M. Huglo, *Les tonaires* (Paris, 1971), 80–81	paracter medii toni
Montecassino, Biblioteca Abbaziale, MS Q. 318	11th c.	M. Huglo, *Les tonaires*, 80–81	paracter medii toni
Bamberg, Staatliche Bibliothek, MS lit. 5	1001	M. Huglo, *Les tonaires*, 36	– –
Wolfenbüttel, Herzog-August-Bibliothek, Ms Helmst. 1050	11th/ 12th c.	M. Huglo, *Les tonaires*, 36	mesi (cf. *De tonis* above)
Piacenza, Biblioteca Capitolare, MS 65	12th/ 13th c.	M. Huglo, *Les tonaires*, 174, 178–81	paracter

Gevaert's Thème 29 is offered by the presence of *O mors ero*. It shares Thème 29 with *Benedicta tu* and *Rorate caeli*, listed in *De modis*; it is also among the antiphons Regino singles out as a *notha*, beginning in the seventh Tone and ending in the fourth. *Et respicientes* is likewise classified as a *notha* by Regino, who says that it begins in the third Tone but ends in the eighth. Although it does not appear in Regino's tonary, *Crucem tuam* is clearly related to Gevaert's Thème 29, displaying the same VII–IV modulation discussed by Regino as characteristic of the first group of his *nothae* antiphons.

In Paris, Bibliothèque Nationale, lat. 7211, f. 17, the treatise *De octo tonis* is followed by a passage mentioning six extra Tones, which begin as authentics and end as plagals.[8] Following the description is a tonary (ff. 18–19) that catalogs the chants exemplifying these extra Tones, listed under their respective intonation formulas. Here, too, the antiphons of the *Nos qui vivimus* family and Gevaert's Thème 29 predominate.

The Vatican *De tonis* further reinforces the modulatory trait of certain antiphons as a chief criterion for assignment to one of the extra Tones, here called *"moesi."*[9] The Vatican *De tonis*, moreover, offers several statements that suggest that extra psalm tones may have been the practical solution to the problems posed by the modulating antiphons. In the words of the anonymous author: "Just as there are sometimes four, sometimes three, sometimes two concordances in the gospel canon, likewise in a chant you will find [several] concordant Tones."[10] In order to sing the proper Tone for one of these ambiguous antiphons, the singer must consult the *differentia* (here called *"discrecio"*). He will thereby be enabled to select a Tone which will produce the proper "euphony." But on certain occasions, when the Tones implied by an antiphon are discordant with each other, he should employ one of the *medii toni* to produce euphony:

> "If you found in an antiphon two discordant Tones, one at the beginning and one at the end . . . Employ thusly a Tone *in medio* which makes a distinction between the elevation [of one] and the lowering [of the other] and it will fit together in euphony."[11]

The treatment of extra Tones in chapter IX of Berno's *Prologus* presents a sharp contrast to that of virtually all the other sources. In discussing the characteristic *ambitus* of the Tones and citing antiphons exemplifying each, he makes the following statement:

> "Certain men are accustomed to call these [antiphons] *medii toni*. And because they may be found between the four single authentic Tones and their *subjugales* in this manner, these men add these four to the eight, and attempt to enumerate twelve Tones."[12]

The antiphons under discussion here are *Biduo vivens* and *Lux orta est*, which are usually assigned to the protus authentic, and *O Domine salvum* and *Oblatus est*, which are assigned to the protus plagis. Transcriptions of these appear in Example 3. Although their melodic formulas identify them as authentic or plagal, these antiphons all have the same *ambitus*, occupying the *diapente* common to both authentic and plagal forms of the protus *maneria*. Evidently, since Berno's system of modal classification–based on species of *diapason, diapente, diatessaron*, and upon *ambitus*–was not sufficient in itself to identify the Tone of these chants, he assumed that they were examples of the *medii toni* about which he had undoubtedly read. Like the authors of other treatises under discussion here, Berno goes on to discuss "modulating" antiphons. But unlike the other authors, Berno never connects these antiphons with *medii toni* or *parapteres*.

As one surveys the information about *parapteres* or *medii toni* provided by the sources discussed above, two quite different views seem to emerge–one held by Berno and one represented in varying degrees of completeness by the other sources. In my opinion, the differences between these can be traced to differing concepts of *tonus*. Berno's view of *medii toni* is based on a "quantitative" conception of Tone, in which species of octaves, fourths, and fifths, along with *ambitus* and *finalis*, are the principal means of classifying chant. This conception arose in the later ninth and tenth centuries through the application of Greek theoretical principles by Hucbald and the principal treatise of the

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[8] The text is given in Lawrence Gushee, "The *musica disciplina* of Aurelian of Réôme," Yale University dissertation, 1962, pp. 233–34.

[9] Rome, Biblioteca Vaticana, pal. lat. 235, fol. 39v. Ed. Peter Wagner, "Un piccolo trattato sul canto ecclesiastico in un manuscritto del secolo x–xi," *Rassegna gregoriana* III (1904), cols. 481–84. Part of the text of this treatise is appended to the tonary in Wolfenbüttel, Helmst. 1050. Cf. Huglo, *Les tonaires*, pp. 33–36.

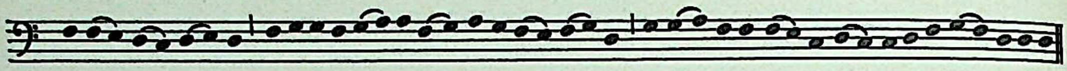
[10] Wagner, "Un piccolo trattato . . .," col. 484.

[11] *Ibid.*

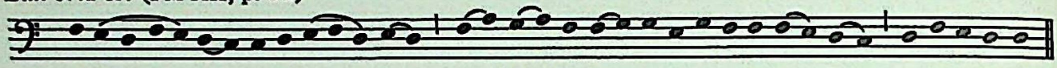
[12] GS II, p. 73.

Example 3: Berno's Exemplars of *medii toni*

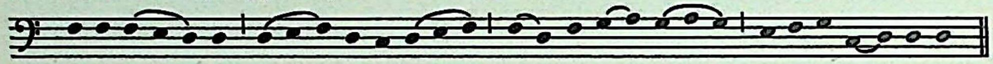
Biduo vivens (Worcester Cathedral MS F. 160. PM XII, p. 237)



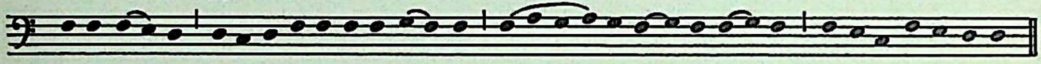
Lux orta est (PM XII, p. 32)



O Domine salvum (AM, p. 341)



Oblatus est (PM XII, p. 120)



Alia musica, principles transmitted to them by Boethius, to the classification of plainchant.[13] The other sources present a view of *parapteres* based on a more "qualitative" concept of Tone, in which melodic formulas and the notion of four finales, each with its own special *"vis"* or *"qualitas,"* are the primary tonal determinants.[14]

Neither system of tonal classification, apparently, was totally adequate for the entire repertoire of liturgical chant. Some chants, such as the *Nos qui vivimus* antiphons and others, whose melodic formulas presented conflicting classificational information (the "modulating" antiphons) were placed outside the eight-Tone scheme and treated as exemplars of special Tones in their own right–the *parapteres* or *medii toni.* It further appears that at least in some localities the antiphons of these special Tones were sung with special psalm Tones that made possible a more "euphonious" connection between antiphon and verse than would have been possible with one of the normal eight psalm Tones. The evidence provided by the *Commemoratio brevis* and other sources demonstrates that such extra psalm Tones were in use, and that their number and characteristics may have varied according to local practice. It would thus appear that the *parapteres* represent a last vestige of this practice, which, except for the *Tonus peregrinus*, was gradually suppressed by the *auctoritas* of the system of eight church modes, carrying with it the weight of a Greek scholarly tradition stretching as far back as Pythagoras.

Powers: Mr. Atkinson has been speaking of an apparent byway in chant theory which turned out, on closer examination, to provide a very direct approach to the question of chant modality versus the system of church modes. Our next speaker is going to talk about how that system of church modes was in turn pressed into service by 16th-century composers to provide schemes for the large-scale tonal organization of polyphonic music.

Cipriano de Rore's First Book of madrigals of 1542 was the first collection of non-didactic polyphonic compositions that is incontrovertibly conceived in terms of the system of church modes. It is thus particularly appropriate–and no doubt hardly a coincidence–that the editor of the Rore edition, Bernhard Meier, is the scholar who has largely been the one to rediscover the basic principles of modal polyphony in the age of musical humanism. This morning he will first summarize the basic questions that must be asked about church modes in 16th-century polyphony; then he will show us the basic techniques through which the church modes were made tonally operative in the polyphonic texture; perhaps he may also want to suggest to us some areas for future investigation.

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[13] See Michael Markovits, *Das Tonsystem der abendländischen Musik im frühen Mittelalter* (Bern, 1977), pp. 73–95.

[14] Cf. Hans Schmid, *Musica enchiriadis* (Munich, forthcoming), and GS I, pp. 156, 152.

Tonartliche Ordnungen der sogenannten klassischen Vokalpolyphonie

Bernhard Meier

Definieren wir zunächst den Begriff „klassische Vokalpolyphonie“: Verstanden sei unter ihm die vokale Kunstmusik der Zeit von etwa 1540 bis 1600. Die Wirkung dieser Musik aber, und die Wirkung ihrer Tonarten mit inbegriffen, reicht über diesen ihren eigenen Bereich, wie noch zu zeigen sein wird, beträchtlich hinaus.

I. Einer ersten, rein terminologischen Frage sind wir bei der Behandlung unseres Themas enthoben: den Begriff „Modus“ (samt dem synonym gebrauchten Namen „tonus“) auf die tonartlichen Ordnungssysteme klassischer Vokalpolyphonie anzuwenden, gestattet uns der Sprachgebrauch des 16. Jahrhunderts selbst.

II. *Wer aber gibt uns Kunde* von den Modi klassischer Vokalpolyphonie? Und: *Auf welche Arten von Musik* verweisen uns diese Gewährsmänner?

1. a) Kunde von den Modi klassischer Vokalpolyphonie geben zunächst die vielen aus jener Zeit erhaltenen musikalischen Lehrschriften. Die Behandlung der Modi gehört zum festen Bestand der als „musica practica“ bzw. „musica poetica“ bezeichneten musikalischen Fachlehre.

Wie aber haben wir diese, nach unserem Sprachgebrauch „musiktheoretischen“ Zeugnisse zu bewerten? Sind sie nur „Theorie“ im Sinne Sixtus Beckmessers, oder sind sie mehr? Betrachten wir einmal, was das Wort „Theorico“ im späten 16. Jahrhundert bedeutete: es bezeichnete damals im Sprachgebrauch der Musiker (entgegen schon seiner antiken und mittelalterlichen Bedeutung) „quel compositore, che discorre sopra le regole Musicali“ bzw. „colui che ha la scienza del comporre“[1]. Der „Theoretiker“ muß also komponieren können; oder: nur wer komponieren kann, kann auch als „Theoretiker“ auftreten! Viele für uns wichtige Autoren (z.B. Zarlino, Pietro Pontio, Dreßler, Calvisius, Michael Praetorius und Sweelinck) verkörpern auch tatsächlich diese Personalunion des Musik-Schaffenden und Musik-Lehrenden. Und kaum einer der Autoren, die sich über die Modi äußern, hat es unterlassen, seine Aussagen durch den Hinweis auf praktische Beispiele zu bekräftigen.

b) Aussagen über die Modi erhalten wir noch aus einer zweiten Gruppen von Quellen: aus dem Mund aller jener Komponisten, die ihre Werke mit der Angabe des Modus versehen haben. Schon auf dem Gebiet der Vokalmusik (Werke psalmodisch-choralgebundener Art, wie Magnificat und dgl., ausgeschlossen) begegnen wir hier einer stattlichen Reihe von Namen: vor der Zeit, der unsere Betrachtung gilt, z.B. einem Ockeghem, Alexander Agricola, Pierre de la Rue und Josquin; innerhalb der Zeit klassischer Vokalpolyphonie einem Giovanni Matteo Asola, Giovanni Croce, Hans Leo Haßler, Orlando di Lasso, Philipp de Monte, Palestrina, Costanzo Porta, Francesco Soriano und anderen. Sie alle haben zumindest eine ihrer Messen nach dem Modus betitelt; und auch nach 1600 dauert dieser Usus fort. Überschreiten wir aber die Grenzen der Vokalmusik, so gewahren wir die Bezeichnung von Werken nach ihrem Modus noch bei vielen anderen Komponisten, deren Namen in der Musikgeschichte einen guten Klang besitzt: so, um nur diese anzuführen, bei den beiden Gabrieli, bei Merulo, Antegnati, Sweelinck und selbst noch bei Frescobaldi. Daß auch Lassos größter Schüler, Leonhard Lechner, und Alexander Utendal sich zur Frage der Modi geäußert haben, sei nur nochmals kurz erwähnt.

2. Betrachten wir nun auch die *Arten* von Musik, auf deren Modi theoretische Zeugnisse oder Werktitel seit etwa 1540 verweisen; und versuchen wir zugleich, mit der Antwort auf diese Frage eine Art statistischen Überblicks zu verbinden.

Angaben des Modus sind für die Zeit von ca. 1540–1620 (nach dem gegenwärtigen Stand meiner Kenntnis) überliefert zu etwa 900 Vokalwerken: zu ca. 730 Motetten, 90 Messen, 45 Madrigalen, 20 deutschen Liedern und 17 Chansons. Nicht wenige dieser Werke bilden Zyklen aller Modi: so die Bußpsalmen Lassos und Utendals, die Evangelienmotetten des Glarean-Schülers Homerus Herpol, Messen Asolas und Portas, dazu auch Claude Le Jeunes „Octonaires de la vanité et inconstance du monde“. Und betrachten wir die Instrumentalmusik der Jahre von etwa 1540–1620, so nennen allein schon die Nachschlagewerke von H. M. Brown und C. Sartori mehr als 500 Werke, die mit

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[1] L. Zacconi, *Prattica di musica* (Venedig, ^{2}1596), Lib. I, Kap. 1. Vgl. auch schon J. Oridryus, *Practicae Musicae utriusque praecepta brevia* (Düsseldorf, 1557), Kap. 1: hier wird die Niederschrift der „praecepta artis“ sogar an erster Stelle (!) – vor der Niederschrift einer Komposition – der „musica poetica“ zugewiesen.

Modusnamen betitelt sind; und an die dreißigmal läßt die Titulatur auch hier eine zyklische, alle Modi umfassende Anordnung solcher Werke erkennen.

Werke geistlicher, in ihrer großen Überzahl choralfrei komponierter Musik, dazu aus weltlicher Musik zumindest deren „höhere“ Arten werden uns somit als durch die Modi reguliert bezeugt. In der instrumentalen Musik aber gelten als durch die Modi reguliert nicht nur polyphone Formen, sondern auch Kompositionen frei präludierender Art (Toccaten, Intonationen)[2]. Frei von der Bezeichnung durch Modusnamen sind in vokaler Musik nur deren „leichte“, quasi-volkstümlich sich gebende Gattungen (Villanelle und dgl.), in der Instrumentalmusik der Tanz.

Eine gewisse Abgrenzung des Bereichs, innerhalb dessen man den Modi Gültigkeit beimaß, ist mit alledem schon angedeutet. Im einzelnen aber ist die Frage, wie weit bei Werken, die uns alle schriftlich, also „kunstmäßig“ überliefert sind, auch Usuelles mitspielt, jeweils von Fall zu Fall zu klären. Schwierig vorzunehmen ist diese Abgrenzung besonders deshalb, weil uns genaue Regeln nur für eine Seite, das System der Modi, überliefert sind, nicht aber für die „usuelle“ Musik. Auf entsprechenden Gebieten, wie z.B. dem des deutschen Liedes oder der französischen Chanson des frühen 16. Jahrhunderts, wird es deshalb gut sein, sich vor allzu rasch generalisierenden Aussagen zu hüten.

III. Fragen wir nun aber: *Was hat die Zeit der klassischen Vokalpolyphonie unter „Modus“ verstanden?* In welcher Art hat jene Zeit ihre Modi bestimmt und nach welchen Kriterien sie unterschieden?

Bezeichnend ist zunächst: Die Modi der klassischen Vokalpolyphonie gelten als identisch mit den Modi des Gregorianischen Chorals. Die Unterscheidung in Authenti und Plagales gilt demnach auch für mehrstimmige Musik, und alle Kontroversen um die Zahl der Modi rühren nicht an diese Unterscheidung.

Auch in der Definition der Modi begegnen wir den aus der Chorallehre des Mittelalters bekannten zwei Haupttypen:

1.Modus = „regula, quae de omni cantu secundum principium, medium et finem dijudicat“; und
2.Modus = species Diapason, entweder zusammengesetzt aus Quinte + Quarte (Authenti) oder aus Quarte + Quinte (Plagales), mit dem Hauptton jeweils am unteren Ende der Quinten-species.

Beide Definitionen zielen auf Eigenschaften *melodischer* Art: die skalare Definition auf die unterschiedliche Lage der Ganz- und Halbtöne innerhalb der Quinten- und Quarten-species, die andere Definition auf die allgemeine Art des einen Modus kennzeichnenden Melodieverlaufs. Mit dieser Art von Modus-Definition verbinden sich auch deutliche Hinweise darauf, daß modellhaft konzipierte Melodiewendungen einen jeden Modus kennzeichnen und erkennbar machen. Hinweise dieser Art erscheinen sogar systematisiert in der Lehre von den sogenannten Repercussionen: Gerüst-Intervallen, die den authentischen und den ihm zugehörigen plagalen Modus oft viel deutlicher voneinander unterscheiden, als es ein nur skalenmäßig unterschiedlicher Tonraum vermöchte.

In der Theorie dringt während des 16. Jahrhunderts, ausgehend von Italien, die skalare Betrachtung der Modi immer stärker vor. Doch dürfen wir die Kraft und Lebendigkeit der modellhaften Konzeption der Modi auch für die Zeit der klassischen Vokalpolyphonie nicht unterschätzen: greifen doch sogar Autoren, welche prinzipiell die skalare Betrachtung der Modi lehren, unversehens auf melodisch-modellhafte Eigenarten der Modi zurück, wenn es gilt, auf die konkret gestellte Frage, was denn einen 1. oder 2., 7. oder 8. Modus hörbar unterscheide, zu antworten[3]. Und in der Praxis der Komposition, d.h. bei der Erfindung von Melodiemotiven wie auch bei der Anordnung der Zäsuren (Kadenzen) innerhalb des Ablaufs eines Werkes, behalten melodisch-formelhafte Eigenarten der Modi auch in klassischer Vokalpolyphonie grundlegende Bedeutung[4].

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[2] Näheres hierzu bei B.Meier, „Die Modi der Toccaten Claudio Merulos“, *Archiv für Musikwissenschaft* XXXIV (1977), S.180–198.

[3] So Glarean mit dem von ihm eigens hierfür geprägten Begriff „phrasis“ (= Stil, Diktion) der Modi. Ebenso Pietro Pontio, *Ragionamento di musica* (Parma, 1588), S.119: Was hier – im Sinne einer für alle Moduspaare exemplarischen Darstellung – über den Unterschied der Initialmotive eines im 7. und eines im 8. Modus stehenden choralfreien Werkes (Motette, Messe, Madrigal „et altre compositioni“) erklärt wird, ist die Darlegung des Unterschieds der Repercussio ut–sol des 7. Modus und der Repercussio ut–fa des 8. Modus.

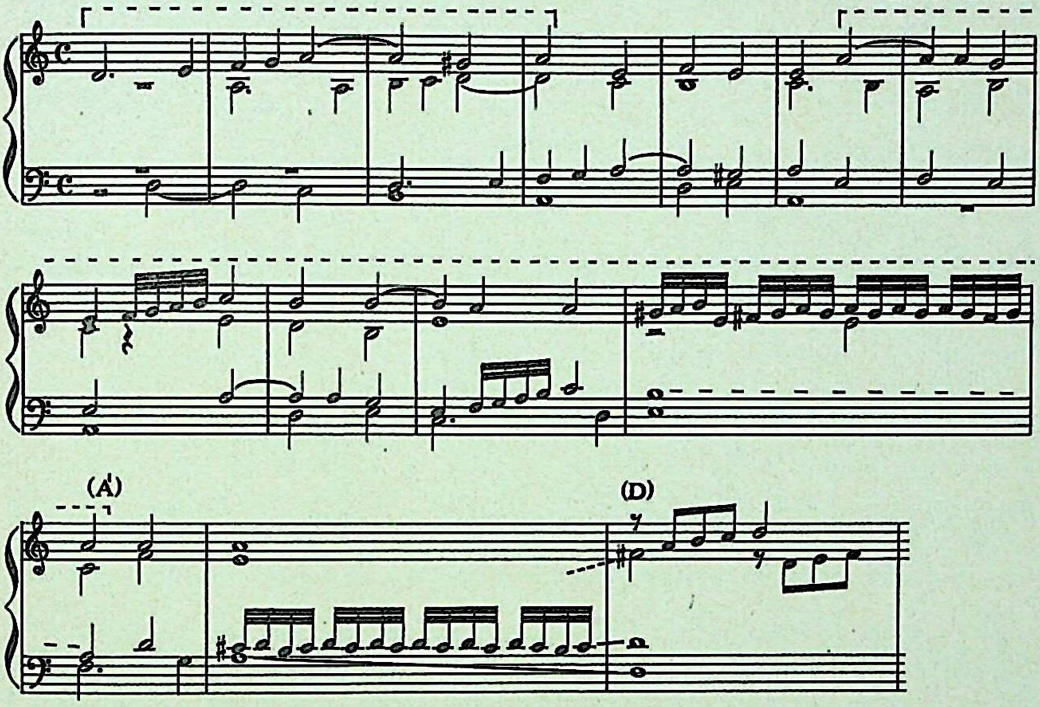
[4] Daß die skalare Konzeption der Modi bei der Erfindung von Melodiemotiven keine Rolle spiele, soll hiermit nicht gesagt sein. In den authentischen Modi fallen ja Repercussiones und Quinten-species (ausgenommen im 3. Modus) zusammen. Im Hinblick auf die Melodik plagaler Modi (besonders auf deren Initialmotive) wäre es eine interessante Aufgabe, aus der

Erläutern wir dies kurz an zwei Beispielen. Mit Absicht entnehmen wir sie einem chronologisch und gattungsmäßig peripheren Bereich: zeigt sich doch gerade hier die Auswirkung jener modalen Normen, die der klassischen Vokalpolyphonie in ihren sozusagen zentralen Formen eigen sind, besonders offenkundig.

Unsere Beispiele sind die Exordien zweier Toccaten Sweelincks (GA IX, ^{2}1943, Nr. 20 und 23). Die Tonart beider Werke ist uns durch deren Quellen belegt: für Nr. 20 der 1. Modus, für Nr. 23 der (auf g–re transponierte) 2. Modus[5].

Beispiel 1: 20. Toccata

J.P. Sweelinck



Das Exordium von Nr. 20 (siehe Beispiel 1) ist real vierstimmig, und in der Disposition der Stimmen entspricht es einem klassisch-polyphonen Satz „a voce piena“. Im Verlauf des Soprans und Tenors vernehmen wir zunächst einen raschen, wenn auch skalenmäßig ausgefüllten Aufstieg durch die Quinten-species re–la. Nach vorübergehendem Zurücksinken folgt sodann (Takt 8) ein über das bisherige „la“ hinausgreifender Terz-Aufstieg (re–fa = a'–c''–a' bzw. a–c'–a), und auf a', der Oberquinte des Sopran-Anfangstones, wird die erste förmliche Kadenz gebildet. (Man beachte, daß der Sopran an dieser Kadenz mit einer jener Melodie-clausulae beteiligt ist, die das kontrapunktische Gerüst der Kadenz, die Sext-Oktav-Progression, bilden.) Diese im Tonraum d'–a'–c''–a' bzw. d–a–c'–a sich bewegende Melodik ist aber ein so charakteristisches Merkmal des 1. Modus, daß es im Schulbetrieb als eine diesen Modus schlechthin kennzeichnende Memorierformel (*Primum quaerite regnum Dei*) verwendet worden ist (siehe Beispiel 2). Sweelinck verwendet dieses Melodiemodell freilich nicht in seiner einfachsten Form; er streckt vielmehr das Modell und zerlegt es gleichsam in seine beiden Bestandteile. Ein Hörer aber, dem das Initial-Melodiemodell d–a–c'–a von Jugend an vertraut ist, vermag auch aus der Melodiegestalt, wie sie bei Sweelinck vorliegt, das Modell und mit

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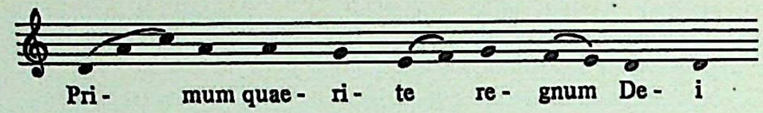
jeweils befolgten Art der Melodiebildung die von den einzelnen Meistern vertretene Konzeption der Modi zu eruieren und aufgrund der Ergebnisse solcher Untersuchungen auch den allgemeinen Verlauf der Entwicklung wieder sichtbar zu machen.

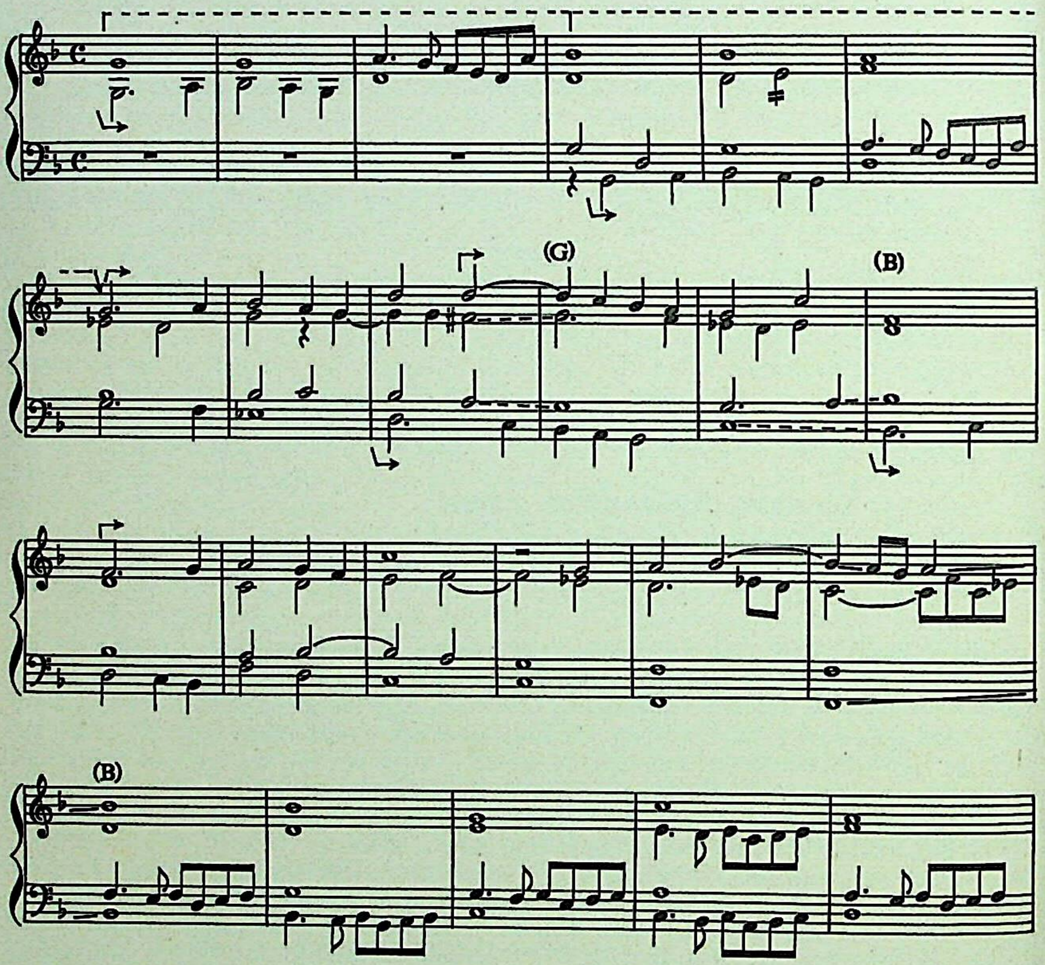
[5] Tonartbeleg siehe S. XXVII und XXVIII der Ausgabe.

Beispiel 2: Memorierformal, 1.Modus



ihm jenen Modus, den es kennzeichnet, herauszuhören: gleich deutlich, wie der heutige Hörer die Kadenz I–IV–V–I auch dann, wenn sie nicht in solch simpler Form erscheint, als tonartliche Grundlage z.B. eines Sonatenthemas der Wiener Klassik wahrzunehmen imstande ist. Und läßt Sweelinck der Kadenz auf a sogleich eine weitere, jetzt auf d liegende Kadenz folgen, so exponiert auch dies, nur jetzt in Abwärtsrichtung, noch einmal die Quint-Repercussio re–la des 1. Modus.

Beispiel 3: 24. Toccata **J.P. Sweelinck**



Wenden wir uns nun der Toccata Nr. 23 zu (siehe Beispiel 3). Auch hier ist das Exordium vierstimmig-polyphon „a voce piena“ disponiert. Was Sopran und Tenor in ihrer Melodik exponieren, ist hier aber – und zwar selbst dann, wenn wir die Abwärtsbewegung nach d' bzw. d als bloße Kolorierung betrachten wollten – allererst ein Haupt-Kennzeichen des *plagalen* Modus der Finalis „re“: die Terz-Repercussio re–fa. Auch die Übernahme des zuerst vom Alt und Baß vorgetragenen Quint-Motives durch den Sopran (Takt 7ff.) verändert den bisher gewonnenen Eindruck nicht: der

Sopran erreicht nun zwar den Oberquintton seiner Finalis, aber nur in raschem Vorübergehen und ohne jedes Bestreben, auf diesem Oberquintton d" zu kadenzieren. Und wiederum gehen melodische Exposition des Modus und Exposition des Modus durch die Folge der Kadenzen Hand in Hand: Der Repercussio g'–b' (g–b), wie die Melodik des Soprans und Tenors sie zu Anfang exponierte, entspricht in den Takten 9–19 erst die Andeutung einer Kadenz g–re, sodann eine nach b führende quasi-Kadenzierung und endlich eine in aller Form auf der Repercussa b vollzogene, das Exordium beschließende Kadenz.

In derselben Weise und nach gleichartigen Kriterien kann der Unterschied authentischer und plagaler Modi auch für die Finales „fa“ und „sol“ (also für 5. und 6. bzw. 7. und 8. Modus) nachgewiesen und gehört werden. Einzig die Modi der Finalis „mi“ (der 3. und 4. Modus) unterschieden sich, wie schon das 16. Jahrhundert zugab, in ihrer polyphonen Form fast nicht mehr voneinander.

IV. Es erhebt sich nunmehr die Frage nach der *Anzahl der Modi* klassischer Vokalpolyphonie.

Die Theorie bietet seit der Mitte des 16. Jahrhunderts zwei Systeme an: das altherkömmliche der *acht* Modi und das Glareanische System der *zwölf* Modi.

Über die Ursprünge des alten Systems ist hier nicht zu reden. Das Glareanische System ist „gelehrten“ (um nicht zu sagen: spekulativen) Ursprungs. De facto ist es eine radikale Konsequenz der skalaren Deutung der Modi; der Meinung seines Autors nach aber bedeutet es eine Wiederherstellung antiker Tradition, die (Glareans Meinung zufolge) auf dem Gebiet der Moduslehre nur getrübt, nie aber wirklich unterbrochen worden sei. Die Musiker selbst haben Glareans System nicht gefordert und zu einem guten Teil sich noch im späten 16. Jahrhundert an die altüberlieferten *acht* Modi gehalten: so z.B. Pontio, Lechner (mit Verweis auf Lasso) u.a. Bei den Anhängern der Lehre von den *zwölf* Modi ist wiederum zu unterscheiden zwischen zwei Schulrichtungen. Die Vertreter der einen Richtung – Glareans deutsche Gefolgsleute – übernahmen die Theorie Glareans ohne jeden Abstrich: sie waren, wie Glarean selbst, der Meinung, jetziger und antiker „Dorius“, „Hypodorius“ etc. seien tatsächlich identisch. Die Vertreter der anderen Richtung – an ihrer Spitze Zarlino – übernahmen zwar die Darlegung der zwölf Modi als solche, nicht aber deren „philologische“ Begründung, und deshalb auch nicht die „antike“ Nomenklatur der Modi.

Bedeutsam für uns sind die Darlegungen Glareans aber vornehmlich aus einem anderen Grunde: Glarean verweist mehrmals darauf, die von ihm „wiederhergestellten“ Modi würden von den Musikern tatsächlich verwendet, nur nicht als eigene Modi anerkannt. Fragen wir deshalb: Wie steht es hiermit?

1. Für den Lydius und Hypolydius Glareans (Finalis f, aber b-durum) ist Glareans Hinweis, zumindest was die mehrstimmige Musik angeht, bedeutungslos: Werke, die in diesen beiden Modi stehen, sind „post Glareanum vel Zarlinum“ erst entstanden.

2. Zu Recht besteht Glareans Hinweis aber für *Werke mit Finalis a* (+ b-durum) bzw. mit Finalis d und b-molle-Vorzeichnung. Hier ist tatsächlich zu fragen: Wie hat man Werke dieser Art vor Glarean und außerhalb seiner Theorie verstanden?

Aussagen hierzu sind nur recht spärlich und verstreut überliefert. Versuchen wir dennoch, ein Bild aus ihnen zu gewinnen.

a) Werke im *plagalen Modus der Finalis a* (nach Glarean: 10. Modus) scheint man innerhalb des Achttonartensystems als Nebenform der Modi der Finalis „mi“ – des 3. oder 4. Modus – angesehen zu haben[6]. Viele dieser auf a schließenden Werke zeigen tatsächlich auch einen Verlauf, der, abgesehen allein vom Schluß, einen auf e fundierten Modus vermuten läßt. Die Eigentümlichkeit aber, bei modal regulärem Verlauf das Ende eines Werkes nicht auf dem Hauptton des Modus, sondern auf einer anderen, wenn auch als „clavis clausularum“ regulären Tonstufe zu bilden, ohne daß solch ein Schluß den Modus veränderte: diese Art von Schlußbildung ist, wie es scheint, im späten 15. und frühen 16. Jahrhundert auch bei den Modi der Finales „re“ und „fa“ noch nichts durchaus Ungewöhnliches.

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[6] Belege: Lechner, Brief, datiert 8. August 1593, abgedruckt von G. Reichert in *AfMw* X (1953), S. 210–212, die einschlägige Stelle S. 211; P. Aron, *Trattato della natura et cognitione de tutti gli tuoni di canto figurato* (Venedig, 1525), Kap. 5; G. Dreßler, *Practica Modorum explicatio* (Jena, 1561), Kap. 8 (Beispiel: Clemens non Papa, *Tristitia obsedit me*, dem 4. Modus zuzuweisen); Pontio, *Ragionamento*, S. 107 (Beispiele: Reulx, *S'io credessi per morte* und Jachet, *Locutus est Dominus* dem 3. Modus zuzuschreiben; dementsprechend hat Pontio auch seine über Jachets Motette komponierte Messe als *tertii toni* bezeichnet).

Im Bereich der auf „mi“ fundierten Modi scheint sich somit nur eine anderswo schon früher aufgegebene Praxis länger gehalten zu haben. – Allerdings existieren neben dieser Art von Werken mit dem Schlußton a auch Kompositionen, die sich als „plagaler a-Modus“ bereits von Anfang an erkennen lassen. Auch sie hat man dem 3. Modus zugewiesen; und es scheint, daß Werke dieser Art für manche Komponisten einen 3. Modus – im Gegensatz zum 4. – geradezu beispielhaft repräsentierten[7].

b) Wie für den plagalen Modus der Finalis a (den 10. Modus Glareans), stellt sich nun aber auch für den *authentischen a-Modus*, den „Aeolius“ (= 9. Modus) Glareans, die Frage: Wie suchten ihn die Anhänger des Systems der acht Modi zu fassen? Und hinzu tritt hier, noch brennender, die zweite Frage: Entsprechen jene Werke, die nach Glareanischer Theorie dem „Aeolius“ zugehören, tatsächlich der Struktur dieses Modus, so wie Glarean – und noch deutlicher Zarlino – sie beschreibt?

Über eine erste Antwort können wir kurz hinweggehen. Denn mag Lechners Aussage, der Glareanische „Aeolius“ sei „unser tonus peregrinus“, offenbar auch die Meinung Lassos wiedergeben, so übernimmt Lechner (und vermutlich vor ihm Lasso) mit dieser Gleichsetzung doch nur eine Ansicht Glareans[8].

Eine Äußerung aus vorglareanischer Zeit finden wir zu dem später so genannten „Aeolius“ (9. Modus) jedoch bei Pietro Aron (*Trattato*, Kap. 3): Werke mit d als modalem Hauptton, aber mit Vorzeichnung von b-molle seien dem 1. Modus zugehörig; denn die Vorzeichnung verändere nur die Quarten-species, die (sc. der Finalis näher liegende) Quinten-species des 1. Modus bleibe aber erhalten. Auch für Werke, die (ohne Vorzeichnung von b-molle) auf a enden, läßt Aron (ebenda) – je nach dem Verlauf des ganzen Werkes – die Möglichkeit zu, dem 1. Modus anzugehören[9].

Mit dieser Zuweisung von Werken, die gemäß der Theorie Glareans dem „Aeolius“ (9. Modus) zuzuschreiben wären, an den 1. Modus scheint Aron einen Usus zu belegen, dem noch Palestrina folgte: die Anordnung der *Vergine*-Canzone Palestrinas und seines Offertorien-Zyklus läßt, wie überzeugend nachgewiesen worden ist, erkennen, daß Werke, die dem authentischen Modus der Finalis a (nach Glarean also: dem 9. Modus) zugehören, hier als einen 1. Modus darstellend betrachtet worden sind[10].

Daß Werke dieser Art mit Kompositionen, die im echten 1. Modus (Finalis d bzw. g–re) stehen, tonartlich identisch seien, ist hiermit freilich nicht gesagt. Die Unterschiede sind sogar viel größer, als die bloß skalenmäßige Darstellung eines echten 1. Modus und eines als Abart desselben betrachteten authentischen a-Modus erkennen lassen. Diese Unterschiede liegen zunächst, wie schon mehrfach beobachtet wurde, im Kadenzplan:

1. Modus:	d, a, f	} jeweils Tenorlage
Authentischer a-Modus:	a, d', e', f', c' (g)	

Nicht die Oberquint-, sondern die Oberquart-Tonstufe der Finalis stellt also im authentischen Modus der Finalis a (dem Glareanischen „Aeolius“, alias 9. Modus) die zweitwichtigste „clavis clausularum“ dar; erst in großem Abstand folgen die übrigen Kadenz-Tonstufen. Diese *wirkliche* Kadenzordnung des „Aeolius“ erinnert aber sehr an die Kadenzordnung eines „in mi“ fundierten Modus.

In dieselbe Richtung weist noch ein anderes Merkmal: Der bei Werken im authentischen a-Modus (dem „Aeolius“ Glareans) zwischen Oberquint und Obersexte der Finalis liegende Halbtonschritt des Soprans bzw. Tenors (e”–f”–e” bzw. e’–f’–e’) wird von der benachbarten tieferen Stimme geradezu regelmäßig aus der Unterquinte, und dabei real, beantwortet; d.h. mit dem im „Aeolius“ – so wie die Theorie ihn darstellt – „leiterfremden“ und dabei der Finals benachbarten (!) Halbton a’–b’–a’ (bzw.

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[7] Siehe z.B. G.M. Trabaci, *Terzo Tono, coñtre Fughe* (Torchi III, S. 365f.). Auch Claudio Merulos beide Orgeltoccaten *del terzo tono* verlaufen, abgesehen von dem hier „korrekt“ auf e gebildeten Schluß, gleich wie in einem auf a fundierten plagalen Modus; sie unterscheiden sich eben hierdurch von den Toccaten *del quarto tono*, deren Fundierung „in mi“ von Anfang an hörbar ist. (Ausgabe: C. Merulo, *Toccate per Organo*, Libro I, ed. S. Della Libera, Ed. Ricordi Nr. 2626).

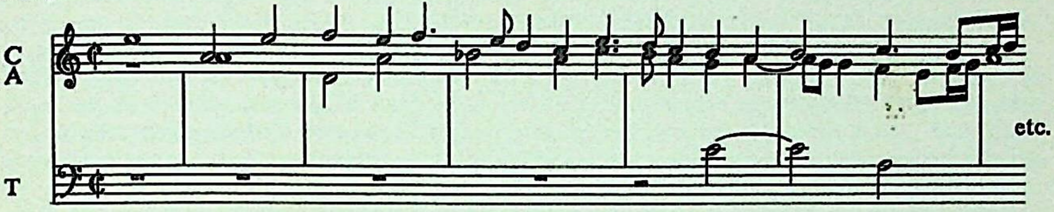
[8] Zu Lasso: Im „Aeolius“ steht seine Motette *Vide homo*. Dieses Werk aber bildet den Schluß der im Prinzip nach der Folge der acht traditionellen Modi angelegten *Lagrime di San Pietro*. Lasso beschließt diesen Zyklus also in derselben Art, in der die Chorallehre auf die Darstellung der acht Modi und ihrer Psalmodi diejenige des „tonus peregrinus“ folgen läßt.

[9] Bei einem solchen Schluß ist allerdings auch die Möglichkeit mit inbegriffen, daß für den Verlauf des Stückes selbst die Tonstufe d als Hauptton fungiert und nur der Schluß außerhalb dieser *wirklichen* Finalis gebildet wird.

[10] Hierzu H.S. Powers, „The Modality of ‚Vestiva i colli‘“, in *Studies in Renaissance and Baroque Music in Honor of Arthur Mendel* (Kassel und Hackensack/New Jersey, 1975), S. 33–46.

a–b–a). So z.B. in den Anfangstakten von Palestrinas Motette *Ave Maria* (Nr. 4 des Offertorien-Zyklus; GA IX, S.13ff.):

Beispiel 4



Die Takte 1–4 ließen sich ohne jede Veränderung als Exordium eines im 3. Modus stehenden Werkes notieren und gebrauchen (h'–e'–h'–c''–h', beantwortet durch e'–a–e'–f'–e'); erst in Takt 5 und 6 tritt der re-Charakter der Tonstufe a zutage. Hierdurch aber gewinnt die Tonstufe a in Werken dieses später „Aeolius" genannten Modus eine zwischen den Tonqualitäten „re" und „mi" eigentümlich schillernde Doppelgestaltigkeit; und diese Doppelgestaltigkeit macht sich auch in der Art der auf a gebildeten Zäsuren bemerkbar[11].

Die terminologische Verselbständigung dieses authentischen a-Modus durch Glarean ändert grundsätzlich nichts an diesen Kennzeichen. Mag der „Aeolius" nun als Skalenschema a–e'–a' (Tenorlage) beschrieben werden, und mag Zarlino die Töne a, e' und a' (Tenorlage) als die in diesem Modus einzig regulären „claves clausularum" bezeichnen: die Merkmale des altüberlieferten Typus erweisen sich, so scheint es, meist als stärker denn die Forderungen dieser neuen theoretischen Definitionen.

Angesichts dieser Inkongruenz scheint zumindest die Frage erlaubt zu sein: Haben wir es auch beim „Aeolius" mit einem ursprünglich dem Deuterus (3. Modus) nahestehenden Tonart-Typus zu tun? Dieser Typus ließ sich dem System der Modi – zumal einem skalenmäßig vorgestellten System, sei es der acht oder auch der zwölf Modi – nur mit beträchtlicher Schwierigkeit einordnen, und niemals sozusagen ohne ungelösten Rest. Zwei Deutungen sind, so scheint es, von der Theorie versucht worden. Die erste Deutung – diejenige als „1. Modus" – berücksichtigt zwar den vorherrschenden re-Charakter der Finalis a, wird aber, vom echten 1. Modus her gesehen, der Lage des Halbtons innerhalb der Quarten-species nicht gerecht, und gleichermaßen nicht der Eigenart der „claves clausularum". Die zweite Deutung, die Interpretation als selbständiger 9. Modus, beseitigt zwar das skalare Skandalon, die vom echten 1. Modus abweichende Art der Quarten-species; der wirklichen Beschaffenheit des authentischen a-Modus, im besonderen seiner de facto bestehenden Kadenzordnung, vermag aber auch diese Deutung nicht Genüge zu tun.

Die Nähe der auf a fundierten Modi zu den Modi der Finalis „mi" kann endlich auch noch durch das Zeugnis eines Musikdruckes von 1554 belegt werden. Es handelt sich um das bei Susato (Antwerpen) erschienene IX. Buch fünfstimmiger Motetten (RISM 1554^9). Dieses Buch steht innerhalb einer vom „Liber Quintus" bis „Liber Duodecimus Ecclesiasticarum Cantionum" reichenden, nach den Modi 1–7 traditioneller Zählung geordneten Reihe. Für die Bücher V und VI gibt Susato selbst durch den Untertitel „Omnes primi toni" Aufschluß. Leicht zu erkennen sind ferner in Buch VII und VIII der 2. Modus (Finalis g–re), in den Büchern X–XII andererseits der 5., 6. und 7. Modus traditioneller Zählung. Bleibt noch das IX. Buch. Es unterscheidet sich von den übrigen zunächst schon dadurch, daß sein Titel sich über die Tonart der in diesem Buch enthaltenen Motetten etwas unbestimmt ausdrückt: Statt des sonst üblichen „Unius toni omnes" (oder „Omnes de uno tono") findet sich im Titel des IX. Buches – zumindest im Tenor-, Quintus- und Bassus-Stimmbuch – nur die Aussage „Omnes quasi (!) de uno tono". Betrachten wir nun den Inhalt dieses IX. Buches, so zeigt sich: Als „gleichsam" (oder: beinahe) „ein und demselben Modus zugehörig" vereint erscheinen hier vier „in mi“ schließende Werke (Nr. 1, 2, 6 und 8) mit einer großen Anzahl weiterer Motetten, die wir, nach Glarean, dem 10. Modus zuzuschreiben hätten. Außerdem erscheint aber auch ein Werk, das dem 9. Modus zuzuschreiben wäre (Nr. 7: J. Vaet, *Miserere mei Deus*; publiziert in DTÖ 100, S. 49 ff.). Offenbar sind alle diese Werke von Susato als Repräsentanten eines zwischen 2. und 5. Modus stehenden, also „in mi“ fundierten Modus angesehen worden[12].

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[11] Zur Imitation e''–f''–c'' / a'–b'–a' (c'–f'–c' / a–b–a) im Exordium von Werken des authentischen a-Modus noch folgende, leicht zu vermehrende Beispiele: Rore, *Voce mea ad Dominum clamavi* (GA VI, S.126ff.); Andrea Gabrieli, *Drei Ricercare del Nono Tono* (IMAM I, S.81ff.; Bärenreiter-Ausgabe 1781, S.16ff. und 19ff.); Giovanni Gabrieli, *Canzon Noni Toni* (IMAM III, S.41ff.); Sweelinck, *Ricercar del nono duono* (!) (GA I, ^{2}1943, S.49ff.; vgl. S.LIII). Zur Doppelgestaltigkeit der auf a gebildeten Zäsuren: S.Hermelinck, *Dispositiones Modorum* (Tutzing, 1960), S.140.

Die „Vorgeschichte“ der von Glarean terminologisch verselbständigten beiden Modi der Finalis a führt uns also immer wieder in die Nachbarschaft des Deuterus. Werke, welche den authentischen a-Modus (oder d-Modus, mit b-molle) als eine Nebenform des 1. Modus oder schulmäßig-puristisch handhaben, können zwar begegnen[13]. Die Existenz solcher Werke bildet jedoch, wie es scheint, erst die Folge nachträglicher Deutungen eines ursprünglich andersartigen und in dieser seiner früheren Art noch lange weiterwirkenden modalen Typus.

3. Eine Beziehung zu dem eben skizzierten Umkreis des Deuterus findet sich in Susatos IX. Buch aber auch für einen weiteren modalen Typus: Als „quasi“ demselben Modus zugehörig wie die regulär „in mi“ oder die auf a (mit b-durum) schließenden Werke erscheint als Nr. 13 auch eine Motette, die wir nach Finalis und Ambitus ihres Tenors und Soprans (d’ bzw. d”, bei plagalem Ambitus) dem um eine Oktave aufwärts transponierten 2. Modus zuzuschreiben hätten. Es fragt sich: Ist auch dieses Werk von Susato als Ausprägung jenes Modus betrachtet worden, dem wir als „authentischem a-Modus“, mit so starker Betonung seiner Oberquart-Tonstufe d, begegnet sind? Träfe diese Vermutung zu, dann hätten wir es, ursprünglich wenigstens, auch hier zu tun mit zwei Varianten eines tonartlichen Typus, die sich fast nur durch die Lage ihres Schlußtones unterschieden: mit einem Verhältnis also analog demjenigen der „normalen“ auf e (bzw. a–mi) schließenden Werke des 3. oder 4. Modus einerseits und den diesen Modi zugerechneten, aber auf a (mit b-durum) schließenden Werke. Und vielleicht erklärte sich von der Annahme einer früheren Quasi-Identität her auch die geringe Verschiedenheit, die selbst bei spürbarer Intention der Unterscheidung zwischen einem „1. Modus“ (alias „Aeolius“) und dem „auf d’ bzw. d” hochtransponierten 2. Modus“ herrscht[14]. Die mehr und mehr sich durchsetzende Praxis, den Schlußton eines Werkes prinzipiell mit dem Hauptton seines Modus gleichzusetzen, hätte in diesem Fall die terminologische Trennung des „hohen d-Modus“ vom „authentischen a-Modus“ mit sich gebracht, und als Folge dieser Trennung hätte sich dann auch die musikalisch andersartige Behandlung beider Modi eingestellt[15].

4. Ein – zumindest anfängliches – Schwanken der modalen Zuschreibung gewahren wir aber auch, höchst unerwartet, bei Werken der Finalis c; genauer: bei Werken, deren Tenor auf c’ endet und den Tonraum g–g’ durchmißt. Melodien dieser Art wären nach Glarean dem 12. Modus zuzuweisen. Nach traditioneller Zählung stellten sie eine hochtransponierte Form des 6. Modus dar; und solcherart finden wir Werke mit Finalis c’ bzw. c” und Ambitus g–g’ bzw. g’–g” (Tenor bzw. Sopran) auch in Susatos XI. Motettenbuch behandelt. Pietro Aron aber hat, etwa 30 Jahre früher (*Trattato*, Kap. 7), Werke dieser Art als Nebenform des 7. oder sogar 8. Modus angesehen. Und es wäre wenigstens zu fragen, ob diese Art modaler Zuschreibung nicht noch bei Palestrina nachwirkt. Ihre Erklärung fänden solcherart gewisse, sonst befremdliche Eigenarten der Musik dieses Meisters: zunächst die so auffällige Tatsache, daß Palestrina im 7. Modus der Oberquart-Tonstufe c (nicht der Oberquint-Tonstufe d) den Rang der modal zweithöchsten „clavis clausularum“ zuweist. Sodann aber fände auch der Widerspruch, der in manchen Werken Palestrinas – z. B. in seiner *Marcellus*-Messe – zwischen der modalen Zugehörigkeit des Anfangs und des Schlusses zu bestehen scheint, seine Lösung: die Verbindung eines auf g als modalen Hauptton weisenden Exordiums mit einem Schluß auf c – oder auch das Umgekehrte – stellten, so betrachtet, nicht mehr einen Moduswechsel im Verlauf des Werkes dar; sie bedeuteten nur mehr einen vielleicht regionalen, altertümlichen Zug, durch den Palestrinas Behandlung des 7. Modus sich von der „schulgerechten“ Handhabung dieser Tonart im Werk „modernerer“ Meister, wie eines Willaert, Rore, Lasso und anderer, unterschiede.

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[12] Vgl. auch den für Johannes Lheritier gegebenen Hinweis, in: J. Lheritier, *Opera Omnia*, ed. L. L. Perkins (CMM 48), vol. I (Rom, 1969), S. XXX.

[13] Siehe z. B. A. Caen, *Nomine qui Donimi*, von Aron (*op. cit.*) als Beispiel des „1. Modus“ (d, mit vorgezeichnetem b-molle) erwähnt. Ferner: Merulo, *Toccata del nono tono* (Ed. Ricordi 2638, S. 49 ff.); St. Rossetti, *Lasso, che mal accorto* (Das Chorwerk 88, S. 18 ff.).

[14] Powers, *op. cit.*, S. 43 ff.

[15] Zur späteren Beurteilung des „hochtransponierten 2. Modus“ (Finalis d’ bzw. d”) als „authentisch“ (Banchieri) siehe Powers, S. 35.

V. Von der *außermusikalischen Bedeutsamkeit* der Modi klassischer Vokalpolyphonie kann nur in Kürze gesprochen werden[16]. Wie der Chorallehre des Mittelalters, gelten auch der Zeit der klassischen Vokalpolyphonie die Modi als Träger von Affektcharakteren: grosso modo gesprochen, die Authenti als Träger von mehr „heiterem“, die Plagales von mehr „traurigem“ Affekt. Die Unterscheidung orientiert sich somit, im Prinzip zumindest, an Kriterien des Melodieverlaufs, nicht an dem Kriterium der großen oder kleinen Terz im Dreiklang, der sich über dem Hauptton errichten läßt.

Allerdings sind die den Modi zugeschriebenen Affektcharaktere nichts absolut Starres; der geschickte Komponist kann sie auf mannigfache Art verändern. Über die tatsächliche Bedeutung der den Modi zugeschriebenen Affektcharaktere läßt sich infolgedessen schwerlich etwas Generelles aussagen; die Bedeutung oder Nicht-Bedeutung dieser Charaktere muß von Fall zu Fall durch Einzeluntersuchung nachgewiesen werden. Stichproben führten zu teils negativem, teils positivem Ergebnis. Wir dürfen demnach nicht erwarten, die Regeln über die Affektcharaktere der Modi in jedem Fall auch praktiziert zu finden; ebensowenig aber dürfen wir diese Regeln auch von vornherein ins Reich bloßer Fabel verweisen. Und würden Untersuchungen der hier angedeuteten Art in großem Ausmaße unternommen, könnte gerade durch sie neues Licht auf den Verlauf des Übergangs vom System der Modi zum Dur-Moll-System fallen. Es ließe sich auf solche Art vielleicht genauer als bisher erkennen, wann und wo jeweils sich die uns vertraute neuere, auf dem Vorhandensein der großen oder kleinen Terz (oberhalb der Finalis) fußende Klassifikation der Modi als „laetiores“ oder „tristiores“ durchgesetzt hat. Ein Vorgang, den die Theorie des späten 16. Jahrhunderts als im Gang befindlich wiederspiegelt, würde uns wieder wirklich greifbar; und wir könnten „in concreto“ wahrnehmen, wie jene Hör- und Auffassungsweise, die wir episodisch und noch außerhalb modalen Wesens schon im frühen 16. Jahrhundert finden, nun auch in den Kern modalen Wesens vordringt. Hiermit aber hätten wir, bildlich gesprochen, dann auch jene Stufe der Entwicklung wahrgenommen, von der aus bis zur Auflösung der Modi überhaupt nur mehr ein Schritt zu gehen war.

Powers: In my opening remarks I quoted parts of Idelsohn's 1913 definition of "*maqām*". In the 1975 *Acta musicologica* there is a brilliant and comprehensive article by Jürgen Elsner, entitled "Zum Begriff des Maqām." In this article, Elsner, among other things, shows how even Idelsohn's fully extended definition of *maqām* in fact deals with only some of the senses in which "*maqām*" is used as a musical term in different musical cultures of the Muslim world. Thus both "mode" and "*maqām*" have multiple meanings in music, each in its own trans-national cultural context. Elsner has been working towards the clarification and demonstration of these various senses of *maqām* and their relationships, both musically and logically. He has also given much thought to the modern European scholarly traditions–and I stress the plural "traditions"–for making use of notions of "mode."

Maqām und Modus

Jürgen Elsner

Der Begriff Modus ist vornehmlich in der englisch- und französisch-sprachigen musikwissenschaftlichen Literatur als Äquivalent für *maqām* und andere als synonym geltende Begriffe der Musikkulturen Nordafrikas und des Vorderen und Mittleren Orients[1] verwendet worden. Sein Inhalt ist dabei, ähnlich der Vielfalt des sonstigen, allgemeinen Begriffsgebrauchs, sehr unterschiedlich ausgelegt. In Farmers Arbeiten, die historisch orientiert sind und sich vor allem auf die im betreffenden Zusammenhang hauptsächlich Tonleitern darstellenden mittelalterlichen Traktate stützen, verbindet sich der *maqām*-Begriff mit Tonreihen spezieller Intervallordnung[2]. Bei Rouanet, Erlanger, auch Shiloah umfaßt der Modus-Begriff als Stellvertreter für *maqām* nicht nur den Skalenaspekt, sondern insbesondere tonalmelodische Merkmale[3].

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[16] Näheres zu alledem bei B. Meier, *Die Tonarten der klassischen Vokalpolyphonie* (Utrecht, 1974), 2. Teil, Kap. 6 und 7.

[1] *San`a* (Algerien), *ṭab`* (Tunesien), *naġam* (Ägypten), *dastgāh* u. a. (Iran).

[2] Vgl. Henry George Farmer, *A History of Arabian Music* (London, ^{2}1967); ders., „Islam“, in *Musikgeschichte in Bildern*, ed. Heinrich Besseler und Max Schneider, Bd. III, *Musik des Mittelalters und der Renaissance*, Lieferung 2 (Leipzig, 1966).

[3] Vgl. Jules Rouanet, „La Musique Arabe dans le Maghreb“, in Albert Lavignac, *Encyclopédie de la Musique*, Teil I (Paris, 1922), S. 2813 ff.; Rodolphe d'Erlanger, *La Musique Arabe*, Bd. V (Paris, 1949), S. 99 ff.; Amnon Shiloah, Introduction zu: Al-Ḥasan Ibn Aḥmad Ibn` Alī al-Kātib, *La Perfection des Connaissances Musicales, übersetzt und kommentiert von Amnon Shiloah* (Paris, 1972), S. 3 ff.

In der deutsch-sprachigen musikwissenschaftlichen Literatur hingegen wird die Bezeichnung Modus selten und dann im Hinblick auf den Skalenaspekt des *maqām* verwendet[4]. Wohl aufgrund der melodische Qualitäten hervorkehrenden Hinweise Idelsohns und Hornbostels[5] ist hier gewöhnlich versucht worden, *maqām* ohne Rückgriff auf vorhandene Vorstellungen und Begriffe zu bestimmen. Als Ergebnis derartiger Definitionsversuche ist eine Vielzahl von Begriffen wie Melodiegestalt[6], Melodietyp[7], Melodiemodell[8], melodischer Gestalttyp[9], Raummodell[10] usw. geprägt worden, die intentional alle zwar in der gleichen Richtung liegen, aber weder äquivalent noch für sich selbst eindeutig sind.

Nun ist die terminologisch und inhaltlich recht unterschiedliche Fassung des *maqām*-Begriffs und seiner Synonyma kaum durch Verweis auf den vieldeutigen, uneinheitlichen und oft undifferenzierten „historischen" Begriffsgebrauch in Musikliteratur und -praxis der betreffenden Länder selbst zu erklären. Immerhin reicht *maqām* hier, wenn man absieht von solchen simultanen Bezeichnungsfunktionen wie Griffstelle, Tonstufe, Hauptton u.a.m., in seiner Bedeutung von Tonleiter über tonal-melodische Merkmalkomplexe bis hin zu bestimmten musikalischen Formen und gar Zyklen. Vielmehr offenbaren sich in der skizzierten Situation Grundprobleme der musikwissenschaftlichen Arbeit, von denen sich mindestens zwei als ihren Konsequenzen nach gravierend erweisen: das terminologisch-definitorische und das methodologische, Begriffe, Kategorien, Vorstellungen außerhalb ihres ursprünglichen Entstehungs- und Gültigkeitsbereiches ohne entsprechende oder genügende Berücksichtigung der damit verbundenen Implikationen zu verwenden und, als Kehrseite des Problems, Aussagen über Praxis und Grundlagen fremder Musikkulturen, also über historisch-soziale Objekte zu machen, ohne hinreichend deren tatsächliche Zuständlichkeit und Voraussetzungen in ihrer historischen und ethnoregionalen Eigenart und Differenziertheit zu berücksichtigen. In der vorliegenden Literatur ist diese Problematik verschiedentlich und von unterschiedlichen Aspekten her schon angerührt, wenn auch ausführlich nicht behandelt worden[11].

Was die Frage des Terminologisch-Definitorischen betrifft, bei der es in Unterscheidung zum historischen Begriffsgebrauch um den für wissenschaftliche Operationen gesetzten Begriff geht[12], so steht sie, wenngleich in anderen, allgemeineren Zusammenhängen als in der angedeuteten *maqām*-Problematik, auch für die Diskussionen um „Modus-Begriffe in Orient und Okzident". Zunächst scheint mir der Begriff des Modus als wissenschaftlicher Begriff, ohne daß damit schon alle seine Bestimmungen und Anwendungen gerechtfertigt sein müssen, für die Erkenntnis musikalischer Zusammenhänge sehr brauchbar, und zwar nicht nur solcher mit der europäischen artifiziellen Musiktradition verbundener, sondern vielmehr auch über sie hinausführend zur Beschreibung und Bestimmung musikalischer Sachverhalte anderer Kulturen und damit auch für den interkulturellen Vergleich[13]. Die vorgegebene Fragestellung ist aber in der Hinsicht falsch oder zumindest irreführend, als sie mit Blick auf regionale Traditionen in Vergangenheit und Gegenwart eine Vielzahl inhaltlicher Abweichungen von einem wie auch immer zu setzenden Begriffe zuläßt, also seine Uneindeutigkeit regelrecht unterstellt. Sie verletzt gewissermaßen die Grundregel wissenschaftlicher Terminologie, nach der Bedeutung und Gebrauch wissenschaftlicher Termini einer eindeutigen Festsetzung bedürfen. Begriff und Wort müssen sich im Verhältnis umkehrbar eindeutiger Zuordnung befinden.

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[4] Siehe z.B. Robert Lachmann, *Musik des Orients* (Breslau, 1929), S.46f.

[5] Siehe A.Z. Idelsohn, „Die Maqamen der arabischen Musik", in *SIMG* 15 (1913/14), S.1ff. Eine entsprechende Formulierung Hornbostels tradierte Robert Lachmann in seinem Aufsatz „Die Musik in den tunesischen Städten", in *AfMw* V (1923), S.154.

[6] Robert Lachmann, *Musik des Orients*, a.a.O., S.54ff.; Marius Schneider, Art. „Râga-Maqam-Nomos", in *MGG* X (1962), Sp.1864ff.

[7] Robert Lachmann, *Musik des Orients*, a.a.O., S.55ff.; Curt Sachs, *Vergleichende Musikwissenschaft* (Leipzig, 1930), S.54; Kurt Reinhard, *Türkische Musik* (Berlin, 1962), S.15ff.; Walter Wiora, *Die vier Weltalter der Musik* (Stuttgart, 1961), S.88. In einer späteren Arbeit nimmt K. Reinhard seine Bestimmung zurück, s. Kurt und Ursula Reinhard, *Turquie* (Buchet/Chastel, 1969), S.68ff.

[8] Siehe Marius Schneider, Art. „Râga–Maqam–Nomos", a.a.O.; Edith Gerson-Kiwi, Art. „Maqām", in *Riemann-Musiklexikon, Sachteil* (Mainz, 1967), S.544ff.; Mohammad Taghi Massoudieh, *Āwāz-e-Šur: Zur Melodiebildung in der persischen Kunstmusik*, Kölner Beiträge zur Musikforschung 49 (Regensburg, 1968); s. auch Curt Sachs, *The Rise of Music in the Ancient World* (New York, 1943), S.285.

[9] Edith Gerson-Kiwi, a.a.O.

[10] s. Habib Touma, *Der Maqam Bayati im arabischen Taqsim* (Hamburg, 1976).

[11] Es wäre hier auf manche Bemerkungen von Robert Lachmann, Walter Wiora, Georg Knepler, Zofia Lissa, Edith Gerson-Kiwi u.a. zu verweisen.

[12] Vgl. Doris Stockmann, Wilfried Fiedler, Erich Stockmann, *Albanische Volksmusik* I, *Gesänge der Çamen* (Berlin, 1965), S.37f.

[13] Es scheint mir bemerkenswert, daß, begründet in bestimmten Entwicklungstendenzen der Praxis und theoretisch schon artikuliert, auch in anderen Musikkulturen die Herausbildung ähnlicher abstrakter Begriffe im Gange ist. Vgl. z.B. meine Darstellung zur Veränderung des *maqām*-Begriffes in Ägypten, insbesondere die Auswertung der Verhandlungen der

Wenn die Verwendung des Modus-Begriffes im Zusammenhang mit *maqām* keinen einheitlichen Begriffsinhalt feststellen läßt[14] und auch der Begriffsgebrauch bei der Beschreibung und Analyse von Volksmusik u.a. unterschiedliche Bedeutungen für Modus ausweist, so stellt seine Anwendung dennoch wissenschaftshistorisch einen Fortschritt dar. Norman Cazdens interessante und heftige Kritik an den „familiar mode classifications and categories“ ist nur in der Hinsicht richtig, daß sie sich gegen ihre mechanische, rein phänomenologisch-beschreibende Verwendung bzw. gegen ihre festgeschriebene Fassung im Sinne der Kirchentonarten richtet[15]. Sie schießt über das Ziel hinaus, wenn sie den allgemeinen Nutzen, die Abwendung von der Engherzigkeit früherer Skalen- und Tonsystemvorstellungen und damit das darin verankerte progressive Moment, die Hinwendung zu den Eigenheiten anderer Kulturen selbst und deren wenn auch zögernde Sanktionierung übergeht. Freilich war das sich eröffnende Verständnis für fremde Musiktraditionen nur der Anfang einer noch heute im Gange befindlichen Entwicklung, die terminologisch-begrifflich, wie allein schon die inhaltlichen Divergenzen des Modus-Begriffs im *maqām*-Bezug deutlich machen können, noch überhaupt nicht bewältigt war. Denn daß es bei der Verwendung des Modus-Begriffs für sehr verschiedene Sachverhalte (amerikanische Volkslieder, arabische Musik artifizieller Tradition, pentatonisches Melodiengut u.a.m.) in einer Periode nach einem ausschließlich funktionalharmonischen, wesentlich auf thematisch-motivischer Arbeit aufbauenden Tonartenverständnis natürlich sinnvoll nicht um eine Reproduktion altgriechischer harmoniai oder mittelalterlicher Kirchentöne oder dergleichen gehen kann, scheint einleuchtend. Von der Idee her bzw. bestimmten praktischen Aspekten entgegenkommend, mußten historische Modus-Modelle, sollten sie die ihnen zugemutete Funktion überhaupt erfüllen können, gewissermaßen eine auf universale Sachverhalte bezogene Transformation erfahren. Sie bedurften eines höheren Abstraktionsgrades. Tendenziell ist das eher bei Lachmann als bei Erlanger entwickelt, dessen Modus-Begriff sich historisch älteren, weniger differenzierenden und daher stärker an praktische Vorgänge gebundene Vorstellungen anpaßt. Er ist unzweckmäßig, da er mit der Adaptierung an einen Spezialfall die historisch erreichte Stufe der gedanklichen Erfassung und Verarbeitung der konkreten Realität zurücknimmt. Denn ihr Vorzug gerade ist es, daß sie aufgrund der Differenzierung zahlreicher neuer Aspekte der tonlich-melodischen Dimension jene Abstraktionsebene erreicht hat, die diese durch eine detailliertere Analyse exakter, weil in den Bestimmungen mannigfaltiger, zu begreifen und darzustellen erlaubt. Dieser Fortgang der gedanklichen Reproduktion der musikalischen Realität, der auf der einen Seite die Verflüchtigung der Bestimmungen und Kategorien zu immer dünneren Abstrakta voraussetzt, bedingt auf der anderen Seite jedoch zugleich ihre Vervielfältigung und allseitige Berücksichtigung, so daß mit ihm nicht, wie Cazden mancher nur auf Intervallfolgen bedachten und die Kirchentonarten eingeengt rehabilitierenden Volksmusikanalyse vorwirft, eine Vernachlässigung von „such highly relevant criteria as the pentatonic genus, motif persistence, directional inflected motion, differentiation between stable nodes and auxiliary ornaments“ eintreten muß[16].

Der durch die reiche Entfaltung der Musikproduktion der letzten Jahrhunderte in Europa bedingten und erreichten Stufe musikwissenschaftlicher Erkenntnis entsprechend, scheint es mir richtig, in Absetzung gegen anderweitige historische Bedeutungen den wissenschaftlichen Modus-Begriff auf tonal-funktionale Merkmale des Tonraumes zu reduzieren, also von melodischen

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Kairenser Fachkollegien von 1959 bzw. 1961, in *Der Begriff des maqām in Ägypten in neuerer Zeit*, Beiträge zur musikwissenschaftlichen Forschung in der DDR Bd.5 (Leipzig, 1973), S.44ff.

[14] Robert Lachmann, *Musik des Orients*, a.a.O., S.36ff., setzt Modus für Ausschnitte aus Gebrauchsleitern mit unterschiedlichem Grundton, während Erlanger, a.a.O., außer diesen „échelles“ oder „gammes modales“ vier weitere wesentliche Elemente benennt.

[15] Norman Cazden, „A simplified mode classification for traditional Anglo-American song tunes“, in *Yearbook of the International Folk-Musik Council* Bd.3 (1971), S.45ff.

[16] Ebenda, S.62, siehe auch S.56. Problematik und Konsequenzen „allzu genereller Kriterien“ bei der Volksmusikanalyse berührt auch Jaroslav Markl, „Zu einigen Fragen des folkloristischen Musik-Katalogs“, in *Methoden der Klassifikation von Volksliedweisen* (Bratislava, 1969), S.11ff.

Aspekten abzusehen (in Form von Klauseln, melodischen Wendungen, melodischen Formeln, melodischen Entwicklungen usw.)[17]. Im Modus werden die in bestimmter funktionaler Beziehung stehenden Töne bzw. Tonnormen von Gruppen merkmalsidentischer Melodien in Reihen fixiert. Er erfaßt dabei drei Merkmale: die Menge der Tonnormen sowie die Intervallverhältnisse und die Funktionsbeziehungen zwischen ihnen[18].

Eine solche Bestimmung des Modus-Begriffes bedeutet eine gewisse Änderung des bisher üblichen in Richtung einer höheren Abstraktionsstufe. Modus ist z.B. nicht mehr an eine vorgegebene Menge von Tonnormen gebunden, sie kann vielmehr sehr unterschiedlich ausfallen. Schon innerhalb kleinster Mengen tonlicher Sinnträger, in Repertoires von Gesängen mit zwei, drei oder vier Stütztönen bzw. -zonen ist er etabliert[19]. Dabei sind die Intervallverhältnisse zwischen diesen in der Menge variablen Tonnormen nicht auf diatonische beschränkt, sondern ihre Charakteristik reicht von mikrotonischen bis zu makrotonischen[20]. Es ist also nicht mehr der oktavbestimmte und diatonisch ausgefüllte Tonraum, von dem der Modus-Begriff ausgeht und dem alle anderen Erscheinungen als Ableitungen zugeschlagen werden. Oktavgattungen und die Oktave als Grenz- und primäres Gerüstintervall für Leitern sind nurmehr als einzelne von vielen Fällen anzusehen. Durch die Loslösung des Modus von Oktavbindung und diatonischer Intervallik wird die oft kritisierte Unterstellung von reduzierten und defektiven Skalen[21] gegenstandslos.

Mit dem Begriff der Tonnormen ist zugleich auf die Möglichkeit großer Variationsbreite der Funktionsträger hingewiesen. Tonale Beziehungen sind nicht nur an Töne gebunden, die in der Höhe relativ fixiert und stabil sind, sondern sie können auch zwischen Tonnormen und Klangzonen vorkommen, die funktionell bestimmt, aber in der Tonhöhe unbestimmt sind. Für das Verständnis dieses Sachverhaltes sind die Forschungsergebnisse zur Herausbildung des „lad“ bedeutsam, die Eduard Alexejew aufgrund von Untersuchungen bestimmter, weit in die Geschichte zurückweisender Genres der jakutischen Musikkultur erzielt hat[22]. Nach seinen Beobachtungen können der Tonhöhenaspekt und tonale Beziehungen auf unterschiedliche Weise etabliert und verknüpft sein. So läßt sich nicht nur die unterschiedliche funktionale Strukturierung ein und derselben Menge von Tönen, sondern auch eine einheitliche funktionale Struktur bei sich verändernder Intervallik finden, für welch letzteren Fall die sogenannten „sich öffnenden lady“ ein markantes Beispiel bieten[23].

Überdies aber zeigt die uranfängliche funktionelle Differenzierung des verwendeten Klangmaterials selbst mehrere Etappen. Die erste ist durch die Herausbildung von einzelnen Stütztönen bzw. zunächst einer Art von Stützzonen (opornye tony bzw. opornye zony) aus der in der Tonhöhenbeziehung undifferenzierten Masse, die zweite durch die Ausbildung von Wechselbeziehungen zwischen den Stütztönen im Sinne von festen und unfesten Tönen (ustoj und ne'ustoj) und die dritte durch die Heraushebung eines oder einiger zentraler fester Töne gekennzeichnet[24]. Die diesen Etappen entsprechenden Stufen der Ausbildung der Tonhöhenstruktur, die außerhalb des „lad“ und vor ihm nicht existiert, sind erstens durch die Zufälligkeit der Tonreihe, zweitens durch ihre Beweglichkeit und schließlich durch ihre volle Geordnetheit und Stabilität und die Eindeutigkeit ihrer Bindung mit dem „lad“ gekennzeichnet[25].

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[17] Also etwa entgegen der neuerlichen weiten Fassung von Modus bei Judith Becker, „The Anatomy of a Mode“, in *Ethnomusicology* XIII, 2 (May, 1969), S.268.

[18] Ähnliche Merkmale erfragt u.a. die Volksmusikanalyse des Musikwissenschaftlichen Instituts der Slowakischen Akademie der Wissenschaften. S. Alica Elscheková, „Grundriß des Systems der Analyse und Systematisierung slowakischer Volksmelodien“ (slowakisch), in *Slovenský Naródopis* XI, 1 (1963), S.43ff.

[19] Vgl. u.a. die bei Eduard Alexejew, *Problemy formirovanija lada* (Probleme der Herausbildung des lad) (Moskau, 1976), S.38ff., gegebenen Beispiele. Es ist bemerkenswert, daß Alexejew bei den der Literatur entnommenen Beispielen wegen der Überlieferungssituation die Frage nach dem Charakter der Stütztöne und ihrer konkreten Tonhöhenbeziehungen als offen erklärt. Suboktavische Strukturen finden sich bei vielen Autoren, siehe u.a. Doris Stockmann, Wilfried Fiedler, Erich Stockmann, a.a.O., S.40ff.; Alan P. Merriam, *Ethnomusicology of the Flathead Indians* (New York, 1967).

[20] Vgl. Eduard Alexejew, a.a.O.; s. auch Trân van Khê, *Viêt-Nam* (Buchet/Chastel, 1967), S. 43ff., der unter der Bezeichnung ditonische, tritonische und tetratonische Leitern der Tonmenge nach sehr begrenzte, der Intervallik nach aber relativ ausgedehnte Beispiele verzeichnet.

[21] Siehe Norman Cazden, a.a.O., S.63ff.; M.Kolinski, „'Barbara Allen' – Tonal Versus Melodic Structure“, Part I, in *Ethnomusicology* XII, 2 (May, 1968), S.208ff. u.a.

[22] A.a.O.; Für den *lad*-Begriff gibt Alexejew ebenda, S.115, die Bestimmung: „Der lad ist die funktionelle Wechselbeziehung aller Stütztöne der Tonhöhenstruktur, die sich im Ergebnis der historischen Entwicklung eines bestimmten Typs der Melodik und im Prozeß der unmittelbaren intonatorischen Herausbildung der konkreten Liedgestalt bildet.“ Siehe auch S.121.

[23] Ebenda, S.35 und 52ff.; vgl. hierzu auch Helen Roberts, *Ancient Hawaiian Music* (New York, 1967). Die von ihr vorgelegten Transkriptionen von olis (S.77ff.) und die tabellarische Auswertung der Tonstufen (S.148f.) weisen offensichtlich auf die Existenz von Tonnormen mit sehr veränderlicher Tonhöhe hin. Andeutungen zu veränderlicher Intervallik finden sich auch bei Doris Stockmann, Wilfried Fiedler, Erich Stockmann, a.a.O.

[24] A.a.O., S.37.

In der relativen Indifferenz der Menge der abstrahierten Tonnormen und der Intervallik gegenüber ihrer Funktion im historisch konkreten Tongefüge liegt begründet, warum diese als Kriterium notwendig in den Modus-Begriff einbezogen werden muß[26]. Die funktionale Wertigkeit der Tonnormen ist durchaus unterschiedlich. Als Beispiel kann etwa die funktionale Äquivalenz oktavverlagert reproduzierter Tonstufen und Tonfolgen angeführt werden. Sie ist nämlich nur bei Musikproduktionen vorhanden, deren Struktur sich tatsächlich auf die Oktave stützt. Dagegen muß diese nicht unbedingt bei allen über die Oktave hinausgehenden Tonraumfüllungen vorliegen, da diese u.a. auch durch die Transposition von Melodiezeilen nach kleineren Intervallen (z.B. Quart- und Quinttranspositionen) bzw. durch die transponierende Aneinanderreihung engraumiger Tongruppen entstehen können. Die Existenz oktavungleicher Tonstufen macht das besonders deutlich (vgl. altungarische Quintstrukturen, bestimmte arabische *maqāmāt* usw.).

Wenn nun der Modus als eine in sich geschlossene, einheitliche Beziehungsqualität von tonalen Merkmalen äquivalenter Melodien bestimmt worden ist, so ist mit ihm jedoch nicht die tonale Struktur jeglicher Melodie auf einfachem, unmittelbarem Wege zu erfassen. Es gibt Typen von Melodien, deren tonale Anlage nur durch zusammengesetzte Modi gedanklich richtig reproduziert werden kann. Diese Unterscheidung ist insofern wichtig, als, wie leicht zu belegen ist, ein zusammengesetzter Modus hinsichtlich Umfang und Dichte der Tonmenge größer sein kann als ein einfacher Modus, während seine tonale Mächtigkeit gleichzeitig geringer ist. Die Entwicklung und Ausweitung historischer Typen der Melodik und damit die Veränderung ihrer tonalen Struktur geschieht nicht nur in linearem Sinne durch Wandlung und Metamorphose, sondern auch die Aneinanderfügung schon vorhandener Melodiestrukturen durch ihre Versetzung in neuentdeckte Tonräume spielt eine große Rolle. Solcherlei Kopulation konventionierter Strukturen liegt wohl bestimmten Stadien der altgriechischen Tetrachordik und der auf ihr beruhenden Systembildung zugrunde; als tonräumlich versetzte Aneinanderfügungen von in sich relativ geschlossenen melodischen Gebilden, nicht aber als einheitliche, integrierte tonräumliche Beziehungsqualitäten sind auch die tonlichen Organisationsformen bestimmter Schichten der ungarischen Volksmusik, der arabischen *maqāmāt* und manch anderer Musikproduktionen zu begreifen. Es sei nur hingewiesen auf Kodálys Scheidung von Quintstruktur und Pentatonik[27] und Erlangers Formulierung, daß der arabische Musiker eine „modale Leiter nicht als ein Ganzes, sondern als ein Ensemble von kleinen Tongruppen“ betrachtet[28].

Die Frage einheitlicher oder zusammengesetzter Modalstrukturen steht meiner Meinung nach z.B. auch bei der Analyse, die Merriam von Gesängen der Flathead-Indianer angefertigt hat und die auf „as objective a picture of music structure as possible“ abzielt[29]. Unter der Voraussetzung, daß die Beispiele nicht lediglich akustisch, sondern vor allem musikalisch „objektiv“ notiert sind, gibt es verschiedene Anzeichen, daß die aus ihnen herausgeschälten „modal structures“ durchaus keine integrierten Systeme darstellen. Das zeigt sich einerseits an den besonderen Intervallverhältnissen der zentralen Töne der Melodiezeilen mancher Gesänge, andererseits und insbesondere aber an den als „chromatic“ charakterisierten „modal structures“, in denen im Sinne einer Materialleiter alle

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[25] Ebenda, S.38; vgl. auch die Ausführungen Robert Lachmanns über Tonsysteme in *Musik des Orients*, a.a.O., S.9ff., sowie seine Arbeit „Musiksysteme und Musikauffassung“, in *Zeitschrift für vergleichende Musikwissenschaft* III (1935), S.1ff. und besonders S.23.

[26] Differenzierungen nach Haupt- und Nebenstufen nehmen viele Autoren an den abstrahierten Tonreihen vor.

[27] Zoltán Kodály, *Die ungarische Volksmusik* (Budapest, 1956), S.23ff.; vgl. auch Ernst Emsheimer, Art. „Mongolen“, in *MGG* IX (1961), Sp.459, der auf das häufige Vorkommen „zweizonenhafter Tonraumgestaltung“ bei den Mongolen hinweist. Interessante Beispiele bietet auch die neuere Melodiensammlung *Čuvašskie narodnye pesni* (Čeboksary, 1969).

[28] A.a.O., S.67. Es wäre überdies zu prüfen, welche Auffassungen der Musikpraxis jeweils hinter bestimmten Termini stehen, die in den mittelalterlichen arabischen Musiktraktaten verwendet wurden und ihrer Bedeutung nach auf ein Aneinander- oder Zusammenfügen hinzielen wie z.B. die Bezeichnung *ǧamāʿa* bei al-Fārābī und Ibn Sīnā oder die Bezeichnungen *murakkab* und *tarkīb* und *šuʿba* bei Ṣafīad-Dīn bzw. seinen Nachfolgern. Vgl. auch die entsprechenden aufschlußreichen Darstellungen bei Gültekin Oransay, *Die melodische Linie und der Begriff Makam der traditionellen türkischen Kunstmusik vom 15. bis zum 19. Jahrhundert* (Ankara, 1966), S.79ff.

[29] A.a.O., S.170.

Tonnormen verschieden strukturierter bzw. nicht miteinander integrierter modaler Einheiten in einer Reihe zusammengeführt werden[30].

Komplizierter noch als bei dem altungarischen quintversetzenden Reihungsprinzip, das zur Versetzung von tonalen Strukturen und in besonderen Fällen auch zur Oktavungleichheit oktavverglichener Tonstufen als wichtigem Indiz für additive Verfahren führt, erweist sich der Versuch einer Herausarbeitung von Modi aus den *maqāmāt*. Sofern es sich nicht um wohl sehr alte, auf einzelne Tongruppen beschränkte Melodien, die auch unter der Bezeichnung *maqām* zusammengefaßt werden, oder um jüngste Vereinfachungs- und Vereinheitlichungsversuche des *maqām*-Wesens handelt, sind die den *maqāmāt* zugehörenden Modi am besten wohl als zusammengesetzte Modi darzustellen, wie es Erlanger im Bericht über die *maqāmāt* auf dem Kongreß zur arabischen Musik Kairo 1932 und dann auch im 5. Band seiner *Musique Arabe* getan hat[31]. Die Mehrzahl der arabischen *maqāmāt* ist aus mehreren, meist unterschiedlichen Tongruppen (*aǧnās*, Pl. zu *ǧins* mitunter auch mit *maqām* gleichgesetzt) zusammengefügt, die abstrahiert zu Tonreihen, nicht nur unverbunden oder verbunden aneinandergereiht sind, sondern sich auch überlappen und gar überlagern. Oft wechseln die Tongruppen auch im Zusammenhang mit der Entwicklung des *maqām*. Daher führt die von einem *maqām* abstrahierte Tonreihe Tonstufen und Intervalle zusammen, die in der Praxis nicht zusammenfallen, wie auch die verschiedenen tonalen Funktionen der einzelnen Tongruppen eigentlich nur im Nacheinander, nicht aber im Nebeneinander zu verstehen sind. Obwohl also der *maqām* ein aus Tongruppen wohlgefügtes, abgestimmtes, harmonisches Ganzes darstellt, ist er dennoch nicht als ein tonal vereinheitlichtes, integratives Gebilde zu betrachten.

Mit der Erörterung des Problems zusammengesetzter Modi wurde schon die Frage des Verhältnisses von Modus-Begriff und realer Musikpraxis in ihrer historischen Bestimmtheit angerührt. Zum vollen Verständnis des Begriffs muß dieses Verhältnis jedoch präziser gefaßt werden. Wenn der Modus-Begriff in der Lage scheint, eben wegen seiner Abstraktheit, alle einschlägigen historischen Sachverhalte einzuschließen, ja sogar dem beschränkten Wirkungsfeld, den beschränkten Ergebnissen uranfänglichen Musizierens in seiner Reduziertheit am vollkommensten zu entsprechen scheint, so ist das in einer Hinsicht, und zwar in quantitativer, richtig. Auf der anderen Seite besteht diese Entsprechung jedoch nicht. Es existiert ein wesentlicher qualitativer Unterschied zwischen der undifferenzierten, nicht in nähere Bestimmungen aufzuspaltenden Ganzheitlichkeit uranfänglicher Melodiebildung und der Abstraktheit eines Begriffs, dessen Kriterien äußerlich mit jener zusammenfallen mögen. Vollgültig ist der Begriff in seiner Spezifität nur für die Epoche, in der er selbst geprägt worden ist. Denn die allgemeinsten Begriffe und Kategorien entstehen nur dort, wo die innere wie äußere Entwicklung am weitesten entfaltet ist, wo der Reichtum an Individualitäten die diesen gemeinsamen Züge, ihre inneren Beziehungen erst hervortreten läßt. Sie erscheinen gerade und allein als ein Produkt eben der historischen Verhältnisse, in denen die durch sie erfaßten Beziehungen überhaupt erst konkret gesetzt sind[32]. Das bedeutet zugleich, daß in anderem Bezug als dem ursprünglichen die relative Gültigkeit entsprechender Begriffe in Rechnung gestellt werden muß. Auf diese Historizität mancher musikwissenschaftlicher Begriffe ist schon aufmerksam gemacht worden. Es wäre etwa auf Lachmanns Bemerkungen zur Melodiegestalt[33], auf Helen Roberts Anmerkung zum europäischen Formbegriff[34], auf Edith Gerson-Kiwis Bestimmung des Variationsproblems[35], auf Alexejews Feststellung zum Verhältnis von Tonreihe und „lad“[36] und anderes mehr zu verweisen.

Wenn also der auf die Merkmale der Menge der tonhöhenbezogenen Normen, der Intervallverhältnisse zwischen ihnen und der tonalen Funktionen festgelegte Modus-Begriff ganz dem Abstraktionsniveau der neueren europäischen Musiktradition entspricht, ergibt sich notwendig, ihn bei Übertragung auf andere historische Sachverhalte in seinem Verhältnis zu diesen zu bestimmen, seinen historisch-konkreten, folglich relativen Wahrheitsgehalt durch zusätzliche Charakterisierungen kenntlich zu machen. Für die ältere arabische Musikpraxis ist zum Beispiel festzustellen, daß sie in der Verallgemeinerung und Gliederung ihres Repertoires, in der Differenzierung seiner inneren Bestimmungen nicht zur Abstrahierung von Modi im bestimmten Sinne vorgedrungen, sondern auf der Ebene tonal-melodischer Begrifflichkeit verblieben ist. Die Skalendarstellungen der spätmittelalterlichen Theoretiker widersprechen dem nicht, da diese nicht Verallgemeinerungen bestimmter Züge des vorhandenen Melodienguts, sondern Resultat zwar in ihrem Grundprinzip der Praxis verpflichteter, aber doch spekulativer Systembildung sind[37]. Das andernorts angedeutete Verhältnis der älteren arabischen Musiktheorie zur Praxis und seine Entwicklung im allgemeinen[38] wie die große Zahl der spekulativ-systematisierend erstellten Zyklen (*adwār*, Sing. *daur*) bei Ṣafī ad-Dīn und die geringe Zahl der ihnen entsprechenden, unter dem Begriff *šadd* gefaßten Melodiebildungen der Praxis können das anschaulich belegen.

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[30] Siehe die entsprechenden Tabellen im Analyse-Teil ebenda, S. 170 ff.

[31] Rodolphe d'Erlanger, „At-taqārīr ... ilā laǧnat al-maqāmāt wa-'l-īqā` wa-'t-ta´līf“ (Berichte ... an die Kommission der *maqāmāt*, des Rhythmus und der Komposition), in *Kitāb mu'tamar al-mūsīqā al-`arabīya* (Buch des Kongresses der arabischen Musik) (al-Qāhira, 1933), S. 172 ff.; und ders., *La Musique Arabe* a. a. O., S. 118 ff.

[32] Vgl. zu dieser Problematik Karl Marx, „Einleitung zur Kritik der politischen Ökonomie, 3. Die Methode der politischen Ökonomie“, in *Karl Marx–Friedrich Engels, Werke* Bd. 13 (Berlin, 1961), S. 361 ff.

[33] *Musik des Orients*, a. a. O., S. 54 ff., auch zur Musikpflege und Musikauffassung S. 92 ff.

[34] A. a. O., S. 96

[35] Siehe „Musiker des Orients – ihr Wesen und Werdegang“, in *Zoltáno Kodály Octogenario Sacrum* (Budapest, 1962), S. 1927 ff., und „Die Tonsysteme Asiens in ihrer Formung“, in *Festschrift für Ernst Hermann Meyer* (Leipzig, 1973), S. 93 ff.

[36] A. a. O., S. 73.

Wenn nun verständlicherweise die Frage nach dem Verhältnis von *maqām* und Modus aufgrund der gegebenen Bestimmung nicht mehr einfach in der Entscheidung für einen der in der Literatur angebotenen Begriffsinhalte, also etwa die eingangs angedeutete Erlangersche Identifikation des *maqām* mit einem melodiegebundenen mode spécial[39] oder Farmers Gleichsetzung von *maqām* und Modus im Sinne von Tonleiter, aufzulösen ist, so liegt die Antwort doch auch nicht in der einfachen Feststellung der Nicht-Identität zweier fester Begriffe bzw. der Unterschiede zwischen ihnen. Das Problem ist komplizierter. Wie ich aufgrund der Auswertung umfangreichen Materials anderweitig darzulegen versucht habe[40], gibt es weder in den arabischen Ländern einen einheitlichen *maqām*-Begriff noch entsprechen die Bestimmungen in der europäischen musikwissenschaftlichen Literatur der Vielfalt der mit *maqām* bezeichneten Phänomene der verschiedenen Musiktraditionen. Der Modus-Begriff ist also in Beziehung zu mancherlei historischen bzw. ethnoregionalen Zusammenhängen geschuldetem Begriffsgebrauch zu setzen. Das aus diesem Grunde mannigfaltige Verhältnis zwischen *maqām* und Modus kann, ohne auf den unterschiedlichen und im Laufe der Jahrhunderte sich wandelnden Begriffsgebrauch eingehen zu müssen, den die arabischen Musiktraktate seit dem 14. Jahrhundert widerspiegeln, leicht aufgrund seiner divergierenden Bedeutungen im Rahmen verschiedener regionaler Musiktraditionen der Gegenwart angedeutet werden.

In Ägypten wird die Bezeichnung *maqām* von den Musikern und Musiktheoretikern in neuerer Zeit in dreierlei Bedeutung verwendet. Sie bezeichnet eine konkrete Tonstufe des Tonsystems und entsprechend den Bund, die Griffstelle auf einem Instrument, dann steht sie für eine konkrete Tonleiter im Sinne der Tonreihe eines Modus und schließlich ist der *maqām*-Begriff mit melodischen Sachverhalten verknüpft und wäre als tonal-melodischer Merkmalkomplex zu bestimmen[41]. Für diesen ist vor einigen Jahrzehnten noch die Bezeichnung *naġam* (Melodie, Weise) üblich gewesen. Die zweitgenannte Bedeutung hat sich seit den 30er Jahren unseres Jahrhunderts immer stärker herausgehoben (Gleichsetzung von *maqām* und *sullam al-maqām* [Leiter des *maqām*]). Diese unter dem Einfluß europäischen musiktheoretischen Denkens stehende Tendenz der wachsenden Abstrahierung des *maqām*-Begriffs, deren Abschluß theoretisch bereits im Rahmen der kollektiven Forschungsarbeiten in Ägypten in der ersten Hälfte der 60er Jahre vollzogen worden ist[42], ist in der sich schnell vollziehenden Wandlung und Entwicklung der Musikpraxis Ägyptens begründet, in der zunehmend Passagenwerk und Dreiklangsbrechungen, Registerwechsel, Umfangserweiterung, veränderte Tonformung u.a.m. eine Rolle spielen. Während dem tonal-melodisch gebundenen *maqām*-Begriff die Erlangersche Bestimmung nahekommt, entspricht der durch Festlegung auf die Oktave gebrachte und von wesentlichen Aspekten des älteren *maqām*-Begriffs absehende neue *maqām*-Begriff am ehesten dem von Lachmann gegebenen Modus-Begriff. Dabei ist jedoch nicht der noch existierende Widerspruch zwischen dem Begriffsgebrauch der traditionellen Praxis und der wesentlich theoretischen Neubestimmung zu übersehen[43].

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[37] Norman Cazden, a.a.O., S.47ff., artikuliert Ähnliches für die Geschichte des Modus-Begriffes.

[38] Siehe Jürgen Elsner, *Der Begriff des maqām in Ägypten in neuerer Zeit*, a.a.O., S.13ff.

[39] A.a.O., S.99.

[40] Jürgen Elsner, „Zum Problem des maqām“, in *AMl* 47 (1975), S.208ff.

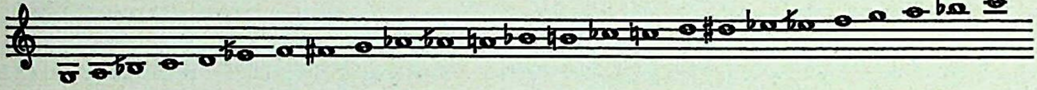
[41] Jürgen Elsner, *Der Begriff des maqām in Ägypten in neuerer Zeit*, a.a.O.

[42] Siehe *Al-ḥalqa aṯ-ṯānīya li-baḥṯ al-mūsīqā al- arabīya* (Zweiter Studienkreis zur Erforschung der arabischen Musik) (al-Qāhira, 1964), S.11ff.

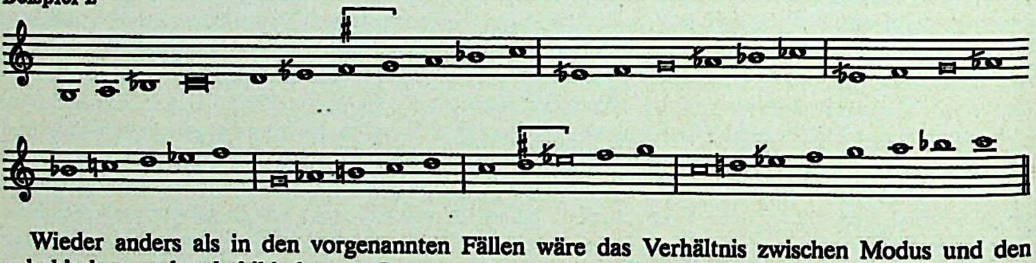
Im Irak hat der *maqām*-Begriff einen weit komplexeren Inhalt als in Ägypten. Zwar kennen und verwenden Musiker und Musikschriftsteller der klassischen Tradition wie etwa Hāšim Muḥammad ar-Rağab und Sālmān Šukr[44] die Bezeichnung *maqām* auch im Sinne von Tonleiter[45]. Aber davon wird der eigentliche „irakische maqām" entschieden abgesetzt. Sālmān Šukr formuliert in bewußter Abhebung, daß er „eine Form der Vokalmusik und keine Tonleiter" sei[46], und ar-Rağab spricht in einer speziellen „Definition des irakischen maqām" von einer Gruppe von miteinander harmonierenden Weisen (*anġām*). Diese mannigfaltige Zusammenfügung von unterschiedlich benannten und angelegten Weisen verfügt gewöhnlich über charakteristische Anfangs- und Schlußteile (*taḥrīr* und *taslīm*) und einen im tongruppenmäßigen Aufbau festgelegten Mittelteil[47]. Ferner ergeben sich weitere Festlegungen hinsichtlich des Textes und aus der Zuordnung von rhythmischen Perioden. Mit dieser Komplexität von tonalen, melodischen, formalen, rhythmischen und anderen Merkmalen steht der irakische *maqām* dem Modus-Begriff weitaus ferner als der melodisch-tonal gekennzeichnete ägyptische *maqām*-Begriff.

Da der irakische *maqām* u.a. stärker als der ägyptische an tonalmelodische Konventionen gebunden ist, ist das Zusammengesetzte an ihm deutlicher zu beobachten. Daß es auch bei der Herausarbeitung der modalen Struktur respektiert werden sollte, ist schon betont worden. Der Widersinn bzw. die Unbrauchbarkeit der Heraushebung einer bloßen Tonreihe aus musikalischen Produktionen, die in Tonmenge und Tonverhältnissen übereinstimmen, ohne Berücksichtigung der tonalen Beziehungen fällt hier besonders ins Auge. Für den *maqām* Rāst Hindī ergäbe sich ein Tonbestand, der nicht nur chromatische, sondern selbst Mikrotonfortscheitungen enthalten würde (siehe Notenbeispiel 1). In der realen Melodiebildung dagegen sind nicht alle Töne miteinander verknüpft, sondern kommen nur in bestimmten Zusammenhängen vor. Der tatsächlichen tonalmelodischen Anlage des genannten *maqām* entsprechend müßte daher die Herauslösung der modalen Struktur im Sinne eines zusammengesetzten Modus geschehen (vgl. Notenbeispiel 2, das einen ersten Versuch darstellt, vom realen melodischen Ablauf des *maqām* zu abstrahieren, ohne schon die Tongruppencharakteristik detailliert herauszuarbeiten)[48].

Beispiel 1



Beispiel 2



Wieder anders als in den vorgenannten Fällen wäre das Verhältnis zwischen Modus und den usbekischen und tadschikischen *makomot* zu beschreiben. *Makom* bedeutet hier, wenn man von

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[43] Vgl. z.B. die Diskussionen im ersten Studienkreis ägyptischer Fachleute in *Ḥalqat baḥṯ al-mūsīqā fi-'l-aqlīm al-miṣrī* (Studienkreis der Erforschung der Musik im ägyptischen Gebiet) (Miṣr [Kairo] 1959).

[44] Siehe *Al-maqām al-`irāqī* (Der irakische maqām) (Bagdad, 1961) bzw. „Al-mūsiqā al-`irāqīya qadīman wa-hadītan" (Die irakische Musik in alter und neuer Zeit), in *Al-mu'tamar aṯ-ṯānī ili-mūsīqā al-`arabīya* (Der 2. Kongreß für arabische Musik), ed. Wizārat ad-daula al-mukallafa biš-šu'ūn aṯ-ṯaqāfīya wa-t-ta'līm al-aṣlī (Tanğa, 1971), S. 92ff.

[45] Bei ar-Rağab, a.a.O., S. 11.

[46] A.a.O., S. 117.

[47] A.a.O., S. 49ff.

[48] Ausgehend von den Analysen ar-Rağabs, a.a.O., S. 123ff., und Šu`ib Ibrāhīms, Interview Elsner (Bagdad, 1975).

anderem Begriffsgebrauch absieht, große vielteilige und relativ festgelegte zyklische Musikproduktionen. In sich und zueinander sind die einzelnen Teile in tonaler und rhythmischer Hinsicht abgestimmt, ihnen ist eine bestimmte Melodik eigen, ihr formaler Aufbau ist festgelegt. Auch hier spielen wieder, allerdings in ganz anderen Dimensionen, Tongruppen, die durch einen bestimmten Tonvorrat, eine bestimmte tonale Anlage und melodische Züge gekennzeichnet sind, eine große Rolle. Insbesondere weist sich das in der Einfügung der sogenannten namuden aus, die charakteristische Tongruppen anderer *makomot* oder *šu ʿbāt*, wie einzelne Teile und Gruppen von Teilen eines *makom* genannt werden, darstellen.

Angesichts der vielfältigen melodischen, formalen, rhythmischen und anderen Implikationen bei fast allen in Frage kommenden Bedeutungen, die sich mit der Bezeichnung *maqām* verbinden, kann der Modus-Begriff nur einige bestimmte Aspekte des *maqām* benennen. Mit Ausnahme der neuen ägyptischen Festsetzung sind alle diese mit *maqām* verbundenen Sinngebungen weniger abstrakt gefaßt als der Modus-Begriff. Um zu einer angemessenen gedanklichen Erfassung des jeweils in Frage stehenden *maqām*-Begriffs zu gelangen, bedarf es daher neben der Herausarbeitung der modalen Struktur der Benennung weiterer Merkmale bzw. erweiternder Beschreibungen.

Powers: I suggested in my opening remarks that the one thing we might all agree on about "mode" was that it had something to do with "tonal stuff." In looking at the topics of panelists Sharma and Becker I am reminded that the other thing we might all agree on is that modes have extra-musical associations. These associations generally work in three interrelated domains: the universal macrocosm of times, seasons, and the heavens; the human microcosm of humors, passions, and psychological character; and the domain of symbolic actions accompanied by music, that is, of liturgy and drama.

The Gregorian modes themselves can furnish an instructive instance of the historical complexities of such associations. The eightfold system was originally borrowed from the medieval Greek Christian octoechos. The Eastern octoechos was in the main systematically linked to a liturgical time-sequence; in the small, from Easter Sunday to its octave; in the large, from Easter to Pentecost. For the Latin church, however, there was no such inherent connection between modes and the liturgical calendar; the modes were simply a borrowed scheme of classification.

The ancient Greek pagan names–Dorian, Phrygian, and so on–were soon grafted on to the now Gregorian octoechos. These names brought with them the notion of microcosmic ethical character, as those ethical characters were attributed to musical entities bearing the same names in ancient writers known to the middle ages–with occasionally rather bizarre consequences. In the Renaissance, in turn, didactic writings on *musica poetica* not only define the musical characteristics of each mode; they also urge composers to set each text in that mode whose predefined ethical character is most appropriate for it–and Bernhard Meier has argued in many of his writings that composers often did just that.

In my opening remarks I also referred briefly to a striking discrepancy between the rather large number of *rāgas* in Indian music and the quite small number of *paṭet* in Javanese music. I implied, without spelling it out then, that an Indian *rāga* is a member of an open-ended modal collection of performable musical types, while a Javanese *paṭet* is a member of a closed system of modal categories. It seems to me that there are equally striking differences between *rāga* and *paṭet* with regard to matters of extra-musical correlation. At any rate this is so for the modern practices. If there is any analog for Javanese *paṭet* in India, it is only in ancient India. A fundamental arena for study of musical entities with extra-musical associations in both cultures is the drama, both as regards the time-sequence of its divisions, and as it represents particular humors and passions. A systematic connection with drama, however, is now only a matter of ancient history for Indian music, while in Java it is very much alive. There are also interesting points about the different levels of musical structure at which extra-musical associations are felt to be applicable. For example, in India, all debate as to *rasa*–that is, "evokable sentiment or mood"–in musical entities is focussed entirely around the *rāgas*. In Java, conversely, it is chiefly individual pieces that are said to evoke *rasa*–that is, appropriate moods and feelings.

Prem Lata Sharma and Judith Becker have each chosen to focus on problems in the extra-musical correlations of modalities or modes, in India and Java respectively. Sharma is one of India's outstanding historical musicologists of the Sanskritic textual tradition. She is also intimately acquainted with the practical tradition of North Indian classical music. She was a student of the late Omkarnāth Ṭhākur, who in turn was not only the most brilliant and popular performer of his generation but a man who thought deeply and originally about the nature and structure of music and its traditional lore.

Rāga and *Rasa*

Prem Lata Sharma

The words *Rāga* and *Rasa* occupy a pivotal position in Indian music and Indian aesthetics, respectively. Attempts at seeing connections between the two are as old as the two concepts themselves.

The primary associations of *Rāga* belong to visual perception, especially color (there too, red color); those of *Rasa* belong to the perception of taste (six *Rasa*-s or distant tastes). Other associations are:

Rāga	*Rasa*
1) Attachment, desire in general, and so specifically,	1) Essence or juice, literally and figuratively; so also then,
2) Love.	2) The blissful nature of the ultimate Reality.

For the purpose of the present study, *Rāga* stands for a melodic matrix which has a distinct individuality of its own and has a basic unity that can sustain itself in considerable diversity. If the primary meaning of the word is also taken into account, this melodic matrix through its configurations, has to be capable of coloring the mind of the listener. This coloring can be understood as a figurative expression for that quality of melody which enables the mind to enjoy a particular emotive state. This last aspect of *Rāga* of course presupposes the support of drama, verbal text of song, or some other concrete image. As pure music, *Rāga* has an image and color of its own which pervades the mind of the listener, an image which need not be equated with any other parallel.

Similarly, *Rasa* stands for aesthetic experience par excellence. The earliest treatment of this concept is in the form of a vivid culinary image that has been drawn by Bharata in order to explain the nature of aesthetic experience in the context of drama and its analogy with the perception of taste.

> "Is there any example for the experience of *Rasa*? The example is, just as the combination of various ingredients brings about the experience of taste (*Rasa*), similarly, the coming together of various mental states accomplishes aesthetic experience (*Rasa*). What is *Rasa*? It is so called because of being the object of taste perception (*āsvādana*). How is *Rasa* tasted? Just as persons in a healthy state of mind taste *Rasa*-s by eating the food that is seasoned with various spices (*vyanjana* = that which manifests the taste), and attain delight, similarly the spectators of drama having a sensitive mind taste the *sthāyi-bhāva*-s (basic mental states) that are manifested through various *abhinaya*-s (dramatic representations) connected with *vāk* (speech), *aṅga* (body) and *sattva* (mind), and attain delight."[1]

The implications of the above analogy of the perception of taste with aesthetic experience can be comprehended by reviewing the special features of taste that go to make it unique in the sphere of sense-perception. These features may thus be enumerated in brief:

(i) The contact of subject and object is one of complete identification with or assimilation of the object by the subject.

(ii) "Taste" is not a simple perception, it is not merely a sum total of the taste of the ingredients, but is something quite new wherein the ingredients cannot be perceived separately; it is a blending where the result is not just an adding up of the ingredients, rather it is something unique and novel. Thus it is a very complex phenomenon.

(iii) It is a personal experience which cannot be shared with anybody.

(iv) Taste can combine all the other objects of sense-perception. One can smell, see, hear and feel the touch of the thing one eats.

(v) Taste is connected with water in the scheme of the five basic elements of creation which embody the objects of the five sense organs. Hence the basic implication of fluidity. The process of assimilation in the human organism is the most direct and immediate in the case of liquids and so is the blending of the various ingredients perfect.

Given the foregoing areas of meaning for the words *Rāga* and *Rasa*, their mutual association as melodic matrix and aesthetic experience carries also the following implications:

Rāga (melodic matrix)	*Rasa* (aesthetic experience)
1. Specificness.	1. Complete identification of subject and object.
2. Delightfulness.	2. Complexity of experience.
3. Capacity to "color" the mind, i.e., enable it to enjoy a particular emotive state.	3. No sharing of experience with others.

Rasa, as aesthetic experience, i. e., relishing various mental states through artistic presentation–originally dramatic, subsequently poetic–cannot be equated with any other experience of life, such as positive or negative perception, illusion, hypnosis, dream, doubt etc. Hence it is unique or extraordinary (*alaukika*). The central point of the extraordinary nature of this experience is that although a mental state is portrayed through a particular situation, the audience is enabled to experience the same state in a universalized way. In order to facilitate this universalization, the dramatic presentation starts with particularities, or, the specification of place, time, and subject (*deśa – kāla – pātra*), but the objective is to enable the audience to rise above the particularities. In actual life it is not possible to be directly confronted with a mental state without the intervention of the above particularities. The limitations of 'I'-ness and 'my'-ness are very active in ordinary life. Art is capable of liberating the mind from this bondage and enabling it to have a glimpse of the universal. Although this glimpse is momentary, it is extolled as a delightful means to reaching the path of liberation.

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[1] *Nāṭyaśāstra*, 6, prose portion following verse 31.

The concept of *Rasa* originated in the context of drama. This is a very important fact which is bound to influence our present study of the connections between *Rāga* and *Rasa*. Eight *Rasa*-s have been unanimously accepted in drama. Bharata has arranged them in four pairs, the former of each pair said to be leading to the latter.

(a)	*Śṛṅgāra*	(Erotic)	……	*Hāsya*	(Comic)
(b)	*Raudra*	(Furious)	……	*Karuṅa*	(Pathetic)
(c)	*Vīra*	(Heroic)	……	*Adbhuta*	(Marvellous)
(d)	*Bībhatsa*	(Disgustful)	……	*Bhayānaka*	(Terrible)

Eight *sthāyi-bhāva*-s (basic and permanent mental states) are recognized which correspond to the eight *Rasa*-s.

(a)	*Rati*	(Love)	……	*Hāsa*	(Mirth)
(b)	*Krodha*	(Anger)	……	*Śoka*	(Grief)
(c)	*Utsāha*	(Enthusiasm)	……	*Vismaya*	(Wonder)
(d)	*Jugupsā*	(Disgust)	……	*Bhaya*	(Fear)

The number of *Sancārī* or *vyabhicārī bhāva*-s (transitory mental states) is thirty-three and a *sthāyi* is said to be surrounded by *sancārī-s* (of course those that are compatible), just as a teacher is surrounded by his disciples or a king by his attendants. In drama a mental state is represented as a cause and effect relationship, technically known as *vibhāva* and *anubhāva*, respectively.

Bharata's *Nāṭyaśāstra* is the earliest available text dealing with drama and music related to it.[2] This work does not contain any treatment of *Rāga* as a melodic matrix. It speaks of *jāti*, however, which could be understood as a melodic species, as described through the following characteristics:

(i)	*Graha*	(initial note)	(ii)	*Aṁśa*	(principal note)
(iii)	*Nyāsa*	(final)	(iv)	*Apanyāsa*	(medial final)
(v)	*Tāra*	(higher register or range)	(vi)	*Mandra*	(lower register or range)
(vii)	*Alpatva*	(paucity)	(viii)	*Bahutva*	(abundance)
(ix)	*Ṣāḍava*	(hexatonic group)	(x)	*Auḍuva*	(pentatonic group)

Jāti basically means "species," and the name itself implies a generic nature of the melodic abstractions that constitute it. The name *Rāga* on the other hand, implies an individual nature. Eighteen *jāti*-s have been described, out of which, seven derive their names from the names of the seven notes and are called "*śuddhā*" (pure, unmixed). The remaining eleven are constructed by mixing two or more (up to five) of the said seven and these are known as *vikṛta-saṁsargajā* (modified and mixture). From one up to all seven notes are prescribed for use as *aṁśa svara* in each of the eighteen *jāti*-s; only three *jāti*-s have single *aṁśa svara*-s. Of course, the same note may be *aṁśa* in several *jāti*-s too. For example, *madhyama* (4) is prescribed as an *aṁśa svara* in eight *jāti*-s. The distinction of one *jāti* from another will then depend upon characteristics other than the *aṁśa*. This means that the abstractions embodied in *jāti* relate not only to intervallic differences and emphases of simple notes but also to melodic structures within a given intervallic group or scale.

Bharata's text also bears testimony to the fact that two distinct spheres of music have been recognized since ancient times. Bharata provides separate terms for music which is not directly related to any dramatic situation and exists in its own right, which is called *gāndharva*, and music which serves as an aid to highlighting or intensifying the mental states involved in a given situation of drama, which is called *gāna*. The connection between music and *Rasa* is taken up in Bharata's treatment only in the context of *gāna*. This connection has been established on the sole basis of *aṁśa svara*, as shown below.

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[2] The earliest recension is not later than 500 B.C.; references here are to the edition in the Gaekwad's Oriental Series, vols. 36, 68, 124, 145, which includes the commentary by Abhinava Gupta. The edition and translation by Manmohan Ghosh was published in Calcutta, 1951–67; vol. 2, the music chapters, is Biblioteca Indica 272, translation, and 272-A, text.

Aṁśa svara (principal note) — *Rasa* (as above)
Madhyama (4) and *pancama* (5) = *Śṛṅgāra – Hāsya*
Ṣaḍja – Ṛṣabha (1–2) = *Vīra – Raudra – Adbhuta*
Gāndhāra – Niṣāda (3–7) = *Karuṅa*
Dhaivata (6) = *Bībhatsa – Bhayānaka*

In addition to the above associations, Bharata's text refers also to the use of music independent of *Rasa*. Particular musical entities called *grāma-rāga* have been assigned to particular junctures (*sandhi*-s) of drama, rather than to particular mental states.

Names (of *grāma-rāga*-s)	Definite point or juncture of drama
1. *Ṣāḍava* (*Rāga*)	*Pūrvaraṅga*
2. *Madhyamagrāma* (*Rāga*)	*Mukha sandhi*
3. *Ṣaḍjagrāma* (*Rāga*)	*Pratimukha sandhi*
4. *Sādhārita* (*Rāga*)	*Garbha sandhi*
5. *Pañcama* (*Rāga*)	*Avamarśa sandhi*
6. *Kaiśika* (*Rāga*)	*Nirvahaṇa sandhi*

Post-Bharata texts have recorded subsequent developments in two distinct streams, one related to *Rasa* and the other to particular points or junctures in drama. These developments were in the form of:

(i) elaboration of subordinate melodic structures (*bhāṣā*-s and *vibhāṣā*-s) built up on these *grāma-rāga*-s;

(ii) transference of the *rasa* connections from the *jāti*-s to the new systems of *Rāga*-s.

The basis of the *rāga* - *rasa* connection, then, is in the use of music to support and intensify the *rasa* connected with a dramatic situation. In the poetics treatise *Dhvanyāloka*, and in Abhinava Gupta's commentary on it *Locana*, there is a discussion of the possibility that an association with a specific dramatic situation or poetic text may not be necessary for music to be connected with *rasa*.[3] In light of the many attempts in more modern times to claim that *rāga*-s can have specific *rasa*-s by nature–that is, even in the absence of specific dramatic or poetic situations–these discussions are very important. They highlight the following claims:

1. Music can be expressive of *Rasa* without the intervention of a comprehension of the meaning of the words. The words may not exist and even if they exist the comprehension of their meaning is not essential for an experience of the intended *Rasa*.

2. Sound can be expressive of or can suggest mental states not only when it is *vācaka* (having primary meanings of words established through convention), but also even when it is *avācaka* (devoid of any associations of primary meanings). Music excels in the exploitation of *avācaka* sounds.

3. *Dhvani* (suggested meaning) can take mainly three forms:

(i) *Vastu* (suggesting an incident),
(ii) *Alaṅkāra* (suggesting a figure of speech), and
(iii) *Rasa*.

Music by itself does not bring about the first two, but it definitely can and does bring about the third.

4. In the *dhvani* of *vastu* and *alaṅkāra* there is a definite sequence (*krama*) in the comprehension of the primary meaning of words in the first instance and the suggested (secondary) meaning following that comprehension. But in the *dhvani* of *Rasa* this sequence becomes so negligible that it is said to be nonexistent. However, it has an immediate hold on the cultivated perceiver. In music hearing the sound and becoming affected by its emotive content do have a sequence but it is very negligible and the impact of the sound is said to be immediate.

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[3] See the *Dhvanyāloka* of Ānanda Vardhana, ed. and trans. by K. Krishnamoorthy (Dharwar, 1974), III, pp. 32–33, with commentary, and especially pp. 206–07.

5. A great contribution of the *Dhvanyāloka* is that it has established the *muktaka* (stray or unconnected stanza of poetry) on a par with drama or epic so far as the experience of *Rasa* is concerned.[4] In drama or epic the ingredients of *Rasa* are presented elaborately and the situation is built up in considerable detail. But in a *muktaka* the whole paraphernalia of *Rasa* is condensed into a miniature. Most of it is unsaid and is left to the imagination of the reader or hearer. Acceptance of these miniature forms as being equally effective for bringing about an experience of *Rasa* has a deep significance for the aesthetics of music. On the other hand, the author of the *dhvani* theory has found a very strong support in the analogy of music because:

(i) Music exploits sound without depending on words having associations of meaning. His argument is that if *avācaka* sounds can suggest *Rasa*, why should not suggestion be accepted as a powerful element in poetry where *vācaka* sounds are employed? His stand is very consistent and emphatic on this point.

(ii) Music provides the most apt analogy for the cutting short of the presentation of the paraphernalia of *Rasa*. A brief but suggestive indication of the situation intended for the delineation of *Rasa* is sufficient to give a starting point to music which can accomplish the rest on its own. Abhinavagupta (*Locana*, commentary on *Dhvanyāloka* III.33) says that *grāma-rāga*-s can give rise to an experience of *Rasa* even without a comprehension of the stanza (*pada*) concerned, if at all the stanza exists; it may not exist as in the case of instruments. He seems to imply here that when the *grāma-rāga* is employed in a situation of drama, with the given background of the dramatic presentation, it can accomplish the delineation of *Rasa* without depending on any further assistance of meaningful words. This can be reconciled with Abhinavagupta's treatment in his commentary on *Nāṭyaśāstra* 32.29, to the effect that text (*pada*) is comparatively more important in *gāna* because the comprehension of the dramatic context is important for the aesthete. Here Abhinava is trying to emphasize the fact that if music is not expected to intensify the *Rasa* depicted through drama, then the text (*pada*) is just a vehicle for notes and rhythm (*svara* and *tāla*). But when music is employed for intensifying dramatic expression, the text acquires a special importance because it contributes to the building up of the situation in question. In his commentary called *Locana* on *Dhvanyāloka*, the point that he is trying to make is important. He is trying to emphasize the power of sound in conveying mental states directly or immediately. Needless to say, Abhinava still presupposes here the background of a situation which has been pronounced or suggested through dramatic presentation. This can be inferred because he refers to *grāma-rāga*-s in this context and they are known as a part of that music which is definitely connected with drama.

It may well be that the *dhvani* school in poetry helped in the establishment of a rationale for expressive musical forms independent of drama. In the case of this music, the absence of a suggestion of the situation associated with a mental state was perhaps compensated by the tradition of *Rāgadhyāna*-s (pictorial verses for *Rāga*-s) which evolved and gained much magnitude subsequently.

After the 13th century the musical texts either reproduce the earlier traditions, or present their stray hangovers, or ignore them altogether, or adjust them to the changed situation. This period is one of decadence anyhow. But in spite of heavy losses in traditions, the connection of *Rāga* and *Rasa* has fascinated musicians and music-lovers throughout the centuries.

In the contemporary scene some attempts for retrieving, interpreting or understanding this tradition deserve notice here. As this paper is devoted to the specific textual traditions of *rasa*, speculative or psychological theories or surveys attempting to connect *rāga*-s directly with "moods" are not taken into account. Only some of those who have based their attempts on *Rasa* theory have been noticed. They are:

(i) Practical demonstration: My Guru, late Pandit Onkarnath Thakur, the great singer, made a mark in this field. In his attempt to retrieve the connection between *Rāga* and *Rasa* he took recourse to short speeches that he would deliver before starting the performance of a *Rāga*. And this he would not do in the case of every *Rāga* that he would perform. He restricted such attempts to specially expressive *Rāga*-s like *Toḍi* and also to *Bhajana*-s where he would try to bring out the compatibility of music with the suggested meaning of words. Sometimes he would take recourse to semi-mimetic actions with the hands. All this had tremendous popular appeal. But there was a group of musicians and critics who disapproved of this rather unconventional approach by calling it dramatization of music. The point relevant for this discussion is that any one trying to give a definite orientation to the emotive content of his music does have to take recourse to some medium or the other in order to suggest a situation which, according to his imagination, would appropriately induct himself and the audience into the experience of a particular mental state. Whether this is justified or not is a different question.

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[4] *Op. cit.*, pp. 130–31.

(ii) Among attempts to interpret the earliest textual tradition in terms of current practice the work of K.C.D. Brhaspati deserves special notice. He has tried to connect the *aṁśa* (principal note) with the *sthāyi-bhāva* (basic emotion); the *samvādi-svara*-s (consonant notes) of the *aṁśa*-s with the *uddīpana-vibhāva* (causes of emotion); the *anuvādi-svara*-s (associated notes) with the *anubhāva* (effects); and the *sañcāri-svara*-s (specific combinations of *svara*-s) with the *sañcāri bhāva*-s (contributory emotions). Thus he has tried to re-establish Bharata's dictum of the *aṁśa svara* being the determinant of *Rasa*. His attempt is remarkable and he has grappled with many problems that confront a serious student of the textual tradition.

(iii) The present author has made a pointed attempt to underline the difference between music forming part of drama and music independent of drama, and to examine if independent music warrants direct analysis in terms of *Rasa*-s. I have suggested that the concept of three *guṇa*-s (qualities) in poetics is very apt for describing the emotive content of music independent of drama.[5] *Druti* (melting) and *dīpti* (excitement) of the *citta* (mind) are associated with *mādhurya* (sweet) and *ojas* (vigorous) *guṇa*-s respectively; these are two basic categories into which the aesthetic effect of any art can be broadly divided. These two categories can broadly encompass the aesthetic effect of all *Rāga*-s. The third *guṇa*, *prasāda*, is neutral and implies the direct, straight or absorbing appeal of a *Rāga*, which can be equally compatible with *mādhurya* and *ojas*.

Powers: In my comments earlier I referred to what seems to me a complete unlikeness between the Indian *rāga* and the Javanese *paṭet*. I could have little concrete to say about *paṭet*, however, were it not for Judith Becker. It is not just that her *Traditional music in modern Java* contains the most comprehensive and comprehensible account of *paṭet* to date in a European language. It is even more, that she has been an extraordinarily generous colleague, sharing not only her own data and sources from Indonesia, but also studies by her students.

Some Thoughts about *Pathet*

Judith Becker

The Javanese system of musical classification *pathet* is usually translated as "mode." Anyone who has struggled with the problems of translation is well aware of the inevitable semantic slippage intrinsic in translation. The English word "mode," as it refers to music, may have had different meanings at different periods and in different places. However, it seems that if one can agree on the time and place of its use, a consensus might be found as to its meaning in that instance. *Pathet*, as a word, presents a very different problem altogether. It is, at the present moment, and in one place, a loosely defined category, not rigidly logical or internally consistent. Part of the reason for this ambiguity lies in the superimposition of a three-part theatrical structure upon a two-part, contrastive musical division. In addition, there seems to be positive value inherent in a loosely defined term. Flexible terms are more adaptable and thus more functional than terms with rigidly circumscribed meanings within a viable, ongoing, and continually creative musical tradition.

Music played by the *gamelan*, songs with instrumental accompaniment, and unaccompanied vocal music are all classified within the system of *pathet*. It seems clear, however, that *pathet*, as applied to music, was originally only a classification of songs associated with theatrical performance, which are called *suluk*. One of the oldest theater forms in central Java is the shadow-puppet play, *wayang kulit*, accompanied by a five-toned *slendro gamelan*. The classification of a *suluk* song was determined by the section of the drama in which it was sung. Below is a schema of the association of *pathet* and sections of the drama.

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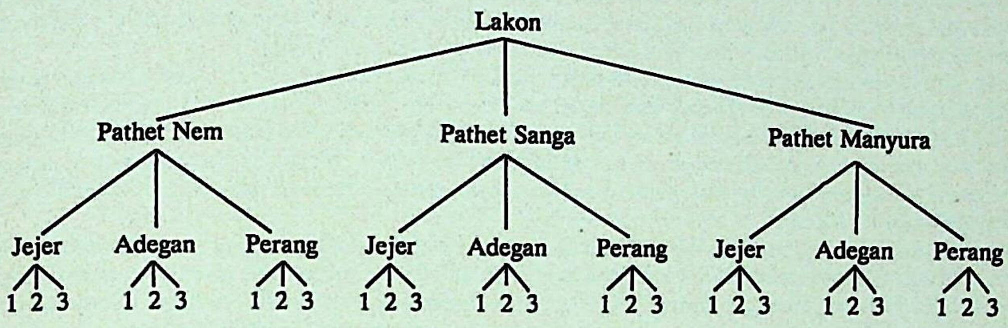
[5] Prem Lata Sharma, "Rasa Theory and Indian Music," *Journal of the Sangeet Natak Akademi*, XVI (1970), pp.57–64.

The structure of a *wayang kulit*
(shadow-puppet play)



Key:

Lakon: an action, a way, an event, a plot.

Pathet Nem: a. the first third of a *wayang kulit* performance.
b. a musical mode consisting of characteristic melodic patterns.
c. the pieces played in the first section of a *wayang kulit*.

Pathet Sanga: a. the second third of a *wayang kulit* performance.
b. same as above.
c. same as above.

Pathet Manyura: a. the last third of a *wayang kulit* performance.
b. same as above.
c. same as above.

Jejer: static audience in a court or hermitage where a problem arises and a plan is formed.

Adegan: scenes outside the audience hall (in the forest, on the road, etc.).

Perang: battles

1: description. 2: dialogue. 3: action or motion.[1]

The *wayang* songs (*suluk*) are sung by the puppeteer (*dhalang*), and accompanied by instruments which lay out a pitch range for the *dhalang* in a metrically unspecified way. *Suluk* are sung at certain structurally determined places in the drama, as well as at points where the *dhalang* wishes to underscore emotion. Within the section *Pathet Nem*, all *suluk* will be from the *pathet nem* class, within the theatrical section *Pathet Sanga*, all *suluk* will be from the musical class *pathet sanga*, etc.

In addition to the songs of the *dhalang*, the only essential musical elements of a modern *wayang kulit* performance are a core of short pieces whose classification is also determined by their place in the *wayang* structure.

Pathet Nem	*Pathet Sanga*	*Pathet Manyura*
Ayak-ayakan, pathet nem	Ayak-ayakan, pathet sanga	Ayak-ayakan, pathet manyura
Playon/Sampak/Srepegan, pathet nem	Playon/Sampak/Srepegan, pathet sanga	Playon/Sampak/Srepegan, pathet manyura
Sampak Gara-gara/Sampak,* pathet nem	Sampak Gara-gara/Sampak, pathet sanga	Sampak Gara-gara/Sampak, pathet manyura[2]

(* rarely played)

By contrast, the earliest types of *gamelan* music are clearly non-modal, or non-*pathet*. Even today, classifying archaic *gamelan* pieces such as *Munggang* or *Kodak Ngorek* according to the *pathet* system

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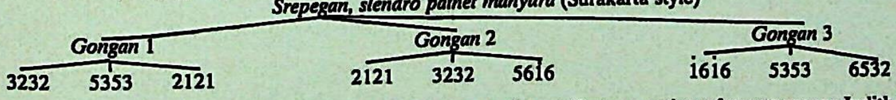
[1] There are conventions for expanding and reordering these structures which are omitted here. Diagram from A. L. Becker, "Text-building, Epistomology and Aesthetics in Javanese Shadow Theatre," *The Imagination of Reality: Essays in Southeast Asian Symbolic Forms*, ed. A. Yengoyan and A. L. Becker, Association of Asian Studies (Norwood, N.J., 1979).

[2] The redundancy of the tripartite theatrical division extends not only to the fact of having three pieces in each of the three *pathet*, but also seems to have influenced the very structure of these pieces. What may be considered the base form of these pieces is illustrated by *Srepegan, pathet manyura*.

Srepegan, slendro pathet manyura (Surakarta style)



For an explanation of the method by which this base form comes to be manifest as a variety of structures see Judith Becker and Alton Becker, "A Grammar of a Musical Genre," *Journal of Music Theory* XXIII (1979), pp. 1–43.

is problematic. However, the use of theater pieces outside the context of *wayang kulit* and the frequent use of originally non-*wayang* pieces in the theater has resulted in the development of *pathet* classification which is now considered to be independent of theatrical traditions. Even so, the tripartite theatrical division has effected the classification system to the extent that what is often a clear-cut, contrastive two-part division has become an ambiguous three-part division.

To aid in conceptualizing the present-day *pathet* classification system, I shall describe *pathet* according to parameters commonly associated with the term "mode," such as scale, melodic pattern, and affective mood. Intervallic structure, an aspect of mode which is often important in Western, Near Eastern, and Indian definition, is of no significance to *pathet*. To justify this omission it seems necessary to digress briefly and explain a fact about *gamelan* tunings that differs radically from Western musical tunings.

In *gamelan* music, pitch relations or intervallic relations (the paradigm of choices within which notes are selected) are not a feature of music structure as a whole but of a particular set of instruments. Each *gamelan* in Java has a unique tuning. While within a single tuning system the number of intervals per octave is constant, their relative distance is variable between (not within) different ensembles. Particular intervals, rather than being constant for the system as a whole, are only an identifying feature of particular ensembles, much as a soprano's unique voice quality identifies her "instrument" rather than the structure of the music. Relative distance between intervals in *gamelan* music is of roughly the same structural importance as voice quality in the West: we recognize the same song in many voice qualities. A Javanese recognizes the same piece with many different intervallic structures as long as the melodic contours remain the same. Like the attitude of Westerners to voice quality, Javanese consider some versions of intervallic structure as more pleasing than others, more appropriate for a particular mood.

The idea of scale, as an abstract from melodic patterns, is not an indigenous way of thinking about music in Java. However, since Javanese musicians have had extensive contact with Western musicians in this century, they now articulate the concept of scale in relation to tuning systems and to *pathet*.

In central Java, the two tuning systems, *slendro* (five tones per octave) and *pelog* (seven tones per octave) each contain three subcategories called *pathet*.

Keys of a *saron* (*gamelan* instrument)

Slendro	*Pelog*
$\boxed{\underset{\cdot}{6}}\ \boxed{1}\ \boxed{2}\ \boxed{3}\ \boxed{5}\ \boxed{6}\ \boxed{\dot{1}}$	$\boxed{1}\ \boxed{2}\ \boxed{3}\ \boxed{4}\ \boxed{5}\ \boxed{6}\ \boxed{7}$
($\underset{\cdot}{6}$ = lower octave; $\dot{1}$ = upper octave)	
1. *Pathet Nem*	1. *Pathet Lima*
2. *Pathet Sanga*	2. *Pathet Nem* (no relation to *slendro pathet* of same name)
3. *Pathet Manyura*	3. *Pathet Barang*

In the *slendro* tuning system, scale does not differentiate the three *pathet*. All five tones occur in all three *pathet*, so that tuning system and scale are coterminous.[3]

The *pelog* system is also a five-toned system, five tones chosen from a set of seven. In *pelog*, scale does, to some extent, differentiate *pathet*.

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[3] Scale may not differentiate *pathet* in the *slendro* system, but the intervallic structure is still important to the aesthetic quality of a particular *gamelan*. All *gamelan slendro* scales are an arrangement of successive larger and smaller intervals. However, the interval between pitch level 1 and pitch level 2 receives the most attention. The terms used to describe different kinds of intervallic structure between pitch level 1 and 2 are *embat* or sometimes *laras*.

Embat Sundari. The interval between pitch level 1 and 2 is appreciably larger than 1/5 of an octave. This tuning gives the impression of striving upwards, rapidly and energetically. The scale is therefore referred to as being *srigak* (bright, cheerful, smart).

Embat Laras Ati: The interval between pitch level 1 and 2 is appreciably smaller than 1/5 of an octave. This tuning is felt to be somewhat indolent and the scale is said to be *luruh* (soft and gentle) or coquettish.

Embat Lugu: The interval between pitch level 1 and 2 is roughly 1/5 of an octave, and the scale is said to be *rata* (even, medium) or straightforward, frank, open.

1. *Pathet Lima*:	1 2 3 (4) 5 6 (7) Pitch levels 4 and 7 are substitute tones for pitch levels 3 and 1 respectively, but are used sparingly.
2. *Pathet Nem*:	1 2 3 (4) 5 6 (7) The base scale is the same as in *Pathet Lima.* Pitch levels 4 and 7 are likewise substitutes for pitch levels 3 and 1 respectively, but are used even more sparingly than in *Pathet Lima.* Scale does not differentiate these two *pathet* with much clarity. *Pathet Lima* and *Nem* are often linked and jointly called by the term *Pathet Bom* (in Yogya-karta).
3. *Pathet Barang*:	(1) 2 3 (4) 5 6 7 The base scale uses pitch levels 2, 3, 5, 6, and 7, thus clearly distinguishing *Barang* from *Lima* and *Nem.* Pitch levels 4 and 1 are substitutes for pitch levels 5 and 7 respectively. Pitch level 4 is used sparingly and pitch level 1 almost not at all.

Thus, we find, on first examination, one of the aspects of *pathet* which makes it difficult to define. *A given parameter may be significant in one part of the system and insignificant in another.* Scale differentiates *pelog pathet* from one another (at least *Bom* and *Barang*), but does not differentiate *slendro pathet.*

In looking at another possible parameter of *pathet* and mode, namely melodic pattern, we find the same phenomena of areas of clarity and areas of ambiguity. The information concerning *pathet* of melodic patterns in paradigmatic distribution (relation of pattern to a set of possible patterns in that position) and in syntagmatic distribution (relation of pattern to what preceded it and what comes after it) differs from instrument to instrument, and also between instrumental and vocal practice. To illustrate, I will briefly describe the use of melodic pattern of the instrument *saron,* in contrast with the use of melodic pattern in relation to *pathet* of the female singer, *pesindhen.*

Pathet recognition in relation to the patterns of the *saron* is based upon three interlocking factors: 1) melodic pattern, 2) the pitch level of the pattern, and 3) position of the pattern within the formal structure (*gongan*) of the piece.[4]

Particular patterns ending on particular pitch levels in particular positions within a formal structure contain varying amounts of information concerning the *pathet* of the piece. Some patterns, those most commonly heard and distributed equally across all pathet, contain very little information concerning *pathet.* Others, however, contain a great deal of information and may, by themselves, be clear indicators of the *pathet* of a piece. In nearly all cases, the cumulative information of sequential patterns in a piece makes possible a clear identification of the *pathet* of a piece well before the final gong stroke at the end of a *gongan.* Sometimes, the greatest amount of information derives from the contour, sometimes from the pitch level, and sometimes from the position.[5] These three factors interact in subtle and complex ways. The greatest ambiguity is found in pieces designated as *Slendro Pathet Nem,* which are sometimes, according to the melodic pattern method of analysis and also by Javanese musicians, confused with pieces in *Slendro Pathet Manyura.* The distinctions between the other *pathet,* both *slendro* and *pelog,* by the *saron* part alone, are fairly clear-cut and unambiguous. If one were to base the *slendro pathet* system on the melodic patterns of the *saron,* one could argue that there are only two *pathet* in *slendro,* one called *Manyura/Nem* and one called *Sanga.* Thus one finds a parallel phenomenon when examining melodic patterns as when examining scales. One could argue for a two-*pathet* system in reference to scales in the *pelog* system–*Lima/Nem* (or *Bom*) and *Barang*–alongside a two-*pathet* system in *slendro* in reference to *saron* melodic patterns–*Manyura/Nem* and *Sanga.*

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[4] For this study, the unit of analysis is an emic unit called *gatra,* usually consisting of four strokes (or beats) on the *saron.* In Javanese *Kepatihan* notation, a *gatra* might be notated as 1216̣. The *gatra* are abstracted into contours which may be mapped onto different ranges of the *saron.* Thus the *gatra* 1216̣ could be called contour 1. This abstracted contour can then be manifest in various ranges such as 2321, 3532, 5653, or 61̇65. Melodic pattern in this analysis means abstracted contour. The pitch level of the pattern refers to the final pitch of the *gatra.* Like all Javanese melodic units, *gatra* are weighted at the end. For a detailed analysis of the saron contours in relation to pathet, see Judith Becker, *Traditional Music in Modern Java* (Honolulu, 1980), Appendix 5.

[5] See Alan Templeton, "An Informational Analysis of Pathet," Appendix 5, in Judith Becker, *Traditional Music in Modern Java, op. cit.*

A detailed analysis of the *pathet* system of the *pesindhen* reveals yet another configuration of the importance of different parameters in relation to different instruments/voices.[6] Walton's study indicates clearly that the important parameters in *pathet* identification for the *pesindhen* are the *combined* information of the end pitch of the pattern and the contour of the pattern.

> "In conclusion, the similarities between the two systems of pathet [saron and pesindhen] are far outweighed by the differences . . . For saron gatra, position is an important determinant of pathet. For sindhen cengkok [melodic patterns] position plays no role at all. Contour alone provides a considerable amount of information for saron gatra. Contour alone provides very little information for sindhen cengkok . . . It would appear that in gamelan music there are (at least) two different systems of pathet operating."[7]

In addition, Walton indicates that while *Slendro Manyura* and *Slendro Sanga* are unambiguously differentiated by pitch level, *Slendro Pathet Nem* is highly ambiguous. Thus, the ambiguous status of *Slendro Pathet Nem* in *saron* patterns is independently reaffirmed in *pesindhen* melodic patterns. In respect to the *slendro pathet* system, and perhaps the *pelog* system as well, it seems that the impetus toward the three *pathet* system comes from the *wayang* structure. The division of the *wayang* performance into three main sections divided into threes once more illustrates an important conceptual strategy with clear implications regarding *pathet* classification. The repertoire of pieces in *Pathet Nem*, both within and outside of the theatrical tradition, is far smaller than the repertoire of pieces in *Pathet Sanga* and *Manyura*. If we examine old *gamelan* compositions which do not include vocal parts or instruments such as *rebab* and *gender*, the number of pieces designated as *Slendro Nem* becomes even smaller. The expansion of the semantic territory of *pathet* classification from theatrical songs to instrumental *gamelan* music and all vocal music apparently included pressure toward a tripartite division, intrinsic to *wayang* structure but somewhat forced when applied to the *gamelan* repertoire. As already suggested, a clear contrastive two-part classification becomes a rather ambiguous three-part classification.

Summarizing the conclusions reached thus far, we can say that scale does not differentiate *Slendro Pathet*, but clearly differentiates two types of *pathet* in *pelog* (*Lima/Nem* from *Barang*). Melodic pattern clearly differentiates only two types of *slendro pathet* (*Manyura/Nem* from *Sanga*).

If we examine *pathet* with respect to ethos, yet another picture emerges. Any particular piece has a particular ethos or *rasa*. The clearest evidence for this fact is found in theatrical accompaniment where particular pieces (or types of pieces) are appropriate or inappropriate for accompaniment of a particular character or scene. In Java, pieces have *rasa*, even *gamelan* tunings have *rasa*, but *pathet* (with one exception) do not. *Pathet Slendro Nem* is sometimes equated with youth, *Pathet Slendro Sanga* with maturity and *Pathet Slendro Manyura* with the wisdom of age. But anyone who knows *gamelan* music can easily think of pieces in all three *slendro pathet* whose *rasas* contradict this classification. The only clear exception is *Pelog Pathet Lima*, which is associated with feelings of spirituality, seriousness and serenity, and whose pieces do convey (to those so trained) the ascribed affect. So ethos or affect, while ascribed to every *gamelan* piece, is not a general quality of *pathet*.

Given the distribution of *pathet* information over a variety of parameters over a number of instruments, it is easy to see why *pathet* identification is not a particular concern for a Javanese musician. Although hard to define in logical terms, *pathet* classification clearly "works." It allows for the differentiation of a limitless body of musical material into cognizable "chunks." The very haziness of any definition of *pathet* may be an advantage for its users (if not for musicologists). The musical application of the word *pathet*, originally applied to songs of the *dhalang*, through time has come to be applied to a vast body of instrumental music, much of which has no connection with theater. A narrow, precise definition of *pathet* might have prevented this expansion of meaning. Also, the parameters of the definition of *pathet* have been differentially emphasized within different genres of *gamelan* music. The definition of *pathet* which is applicable to the old-fashioned repertoire *gendhing bonangan* is not necessarily the same as the definition of *pathet* when applied to the more recent *klenengan* repertoire. *Gendhing bonangan* are purely instrumental pieces and are often ritual pieces. The *klenengan* repertoire emphasizes the vocal parts, the softer instruments such as *gender* and *rebab* and is independent of ritual functions. Modern *gamelan* composers are producing *gamelan* pieces which by comparison with older pieces, do not fit any *pathet* category. Yet these composers (Ki Wasitodipuro and Ki Nartosabdho in particular) whose understanding of the *gamelan* system is unquestionably profound, have no hesitation in assigning a *pathet* classification to their new-style compositions. Whatever it is that makes the contemporary *Suara Sulino* a piece in *Pelog Pathet Nem* is surely not the same as what makes the traditional *Ladrang Sri Rejeki* also a piece in *Pelog Pathet Nem.*

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[6] This section is based on a study by Susan Walton, *Mode in Javanese Vocal Music: Pathet and Sindhen, Studies in Javanese Karawitan*, I, Center for South and Southeast Asia Studies, University of Michigan (Ann Arbor, Michigan, in press).
[7] Walton, *op. cit.*

We are here confronted with the question of innovation. If a system of music, or a classification of that system, is too rigid, innovation and creativity become impossible. Loose terms have an important and an essentially human function. They allow individual variation in practice, in interpretation, and in conceptualization. When designing a computer program for the analysis of *pathet* in *gamelan* pieces, Templeton discovered that he had to build into his program what he calls "6 % forgetfulness."[8] That is to say, after having programmed the information needed to decide the *pathet* of a composition which was submitted to the computer for analysis, he had to randomly eliminate 6 % of the total information in computer memory when processing a given piece. With this "forgetfulness" the computer made fewer errors of identification than before. More significantly, without any "empty holes" the computer would reflect any new data which was not already part of the program's data base. Lacking the forgetfulness component, the computer acted like a person who had all the answers and refused to learn anything new. I am not claiming that computers are like people, but computers, as products of human minds, display some of the characteristics of the human mind. Like computers, we need a certain amount of flexibility in order to deal realistically with a vastly complex world whose totality is unknowable to us. *Pathet* as a loosely defined idea is more useful, more manageable, and more creative than a rational, logical, and precise category would be.

For a long time in the history of Western thought, from Aristotle through 20th-century structuralism, a particular model for defining categories has been followed in scholarship. The definers of a category were felt to be those elements shared by all members of that category. The search has been for the common elements of a group, those common denominators believed to be the definers of the category. It appears now, however, that this may not be the only way in which we conceptualize categories. Rather, we may attach a stereotype to a category and then compare all instances to our stereotype. If the new instance fits more or less, it falls into the same category. We learn the category "bird" by its association with a particular bird, perhaps a robin. From then on, we judge whether or not a creature is a bird by metaphor, by its similarity or dissimilarity to a robin. With experience, we learn to accept penguins as birds, hummingbirds as birds (why not a big dragonfly?) and flying fish as non-birds. Winged things, feathered things, flying things, worm-eating things, rose-breasted things, singing things may all be called birds. A new creature to our experience may be classified as bird by conforming to one or more of those characteristics, but need not conform to all. The question becomes not "does it share the common denominators of all birds?" (only ornithologists know that) but to what degree it is "robin-like?" In the same manner, a *gamelan* piece may be classified as *Pathet Sanga* if it demonstrates some characteristics of well-known, thoroughly internalized, stereotypic *Pathet Sanga* piece (like *Ketawang Subakastawa*). The question one asks when hearing an unfamiliar piece is not "is it *Pathet Sanga*?" but rather "is it *Pathet Sanga*-ish?" If yes, then it can be so designated. A piece which is "*Sanga*-ish" in one respect (emphasis on gong pitch level 5) may be "un*Sanga*-ish" in other respects (use of the contour 1312). In time, the characteristic which was at first not particularly "*Sanga*-ish" but which occurred in an otherwise *Sanga* piece, may come to be felt as strongly *Sanga*, and thus the expansion of the conceptual category *Pathet Sanga.*

In conclusion then, I would say that *pathet* as an ill-defined system of musical categories is a useful concept for a viable, ever-changing musical system. It would appear that well-defined categories are more useful in textbooks than in application to the infinities of experience of the phenomenal world.

Powers: In my transitional remarks between speakers I haven't yet mentioned the East Asian term *tiào*. In Sino-Vietnamese the word read for that ideogram covers a pair of modal categories whose mutual differences are very great–as great as the differences between the *slèndro* and *pèlog* tunings in Javanese music. But since Trân Van Khê will be with us at this afternoon's study session, we may hear something more to the point from him. In Japan the *onyomi* reading for this ideogram is *chō*–or with an enclitic, *chōshi*–and it has a range of application as wide as the words "tone" or "mode" in

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[8] Alan Templeton, "An Informational Analysis of Pathet," Appendix 5, in J. Becker, *Traditional Music in Modern Java, op. cit.*

European music, and nearly as wide as *maqām* in the Muslim musical world. Robert Garfias's recently published study of *tō-gaku* includes a thorough examination of both the theory and the practice of the *chōshi* of the Imperial Japanese court music–which are indeed "modes"–and Garfias will also be with us at this afternoon's study session. But this concept as it has been variously employed in its Chinese homelands has received no comparable study, so far as I know. If there is any scholar of Chinese music, publishing in an official language of this Society, who has the knowledge of both theory and practice that could fill this gap, it is Rulan Chao Pian.

Some of you may have seen the chapter dealing with mode in Pian's prize-winning book on the *Sonq Dynasty Musical Sources and Their Interpretation.* Over the years she has also made an extensive collection of recorded performances of Chinese musical theater, with all its tune-types and melody-types. In recent years she has spent a great deal of time in study and analysis of these materials. She will now share with us something of what she knows about modes and modalities in Chinese music, past and present.

Modes, Transposed Scales, Melody Types and Tune Types

Rulan Chao Pian*

The purpose of this paper is to describe certain concepts in Chinese music which in many respects are comparable to various concepts of mode in other cultures. However, in the Chinese case they have also developed in their own special ways.[1] The four topics listed in my title all figure prominently either in Chinese musical theory or practice; they are also in one way or another mutually related.

1. Modes

The so-called System of Modes, which will be defined here, appeared rather late in Chinese history.[2] In its fullest developed form, this consists of a specified list of notes given in terms of absolute pitches arranged in an orderly fashion, such as a scale, plus a designated note on which a piece of music should end, in other words, a finalis. For example, a mode may have the series of notes: c–d–e–f–g–a–b–c'–d', with the d as the finalis. In another mode either the series of notes, or the finalis, or both, could be different. The first detailed description of such a modal system that we know is in an early Sung dynasty work by Sheen Gua (11th Century) in connection with the so-called System of 28 Popular Modes. Sheen specifies all the notes in a mode, arranged in scale form, and for the first time in Chinese treatises we see the recognition of the significance of the finalis, which Sheen Gua calls, *sha-sheng* "ending note."

In Sheen's system of modes there are seven different kinds of scales. They are basically diatonic and heptatonic, but all include at least one octave equivalent, and some have a slightly wider ambitus than others. Three–of which one is hexatonic–contain a gap of a minor third. In each of these seven scales there are four notes that can be used as finalis, resulting in four possible modes which are called the fa-mode, sol-mode, re-mode, and la-mode (see Example 1).[3] In these modes, the finalis is never at (and is occasionally near) the bottom of the ambitus.

A little over a hundred years later than Sheen Gua, we see the musical theorist, Tsay Yuandinq, proposing another set of modes which differ from Sheen's modes in many ways. For one thing, it is a much fuller and more theoretical list (about which more will be discussed below). However, the fundamental concept of a mode–that is, defined by a given list of notes and a finalis–remained the same. Tsay Yuandinq frequently mentions an initial, together with the finalis. Nevertheless, his

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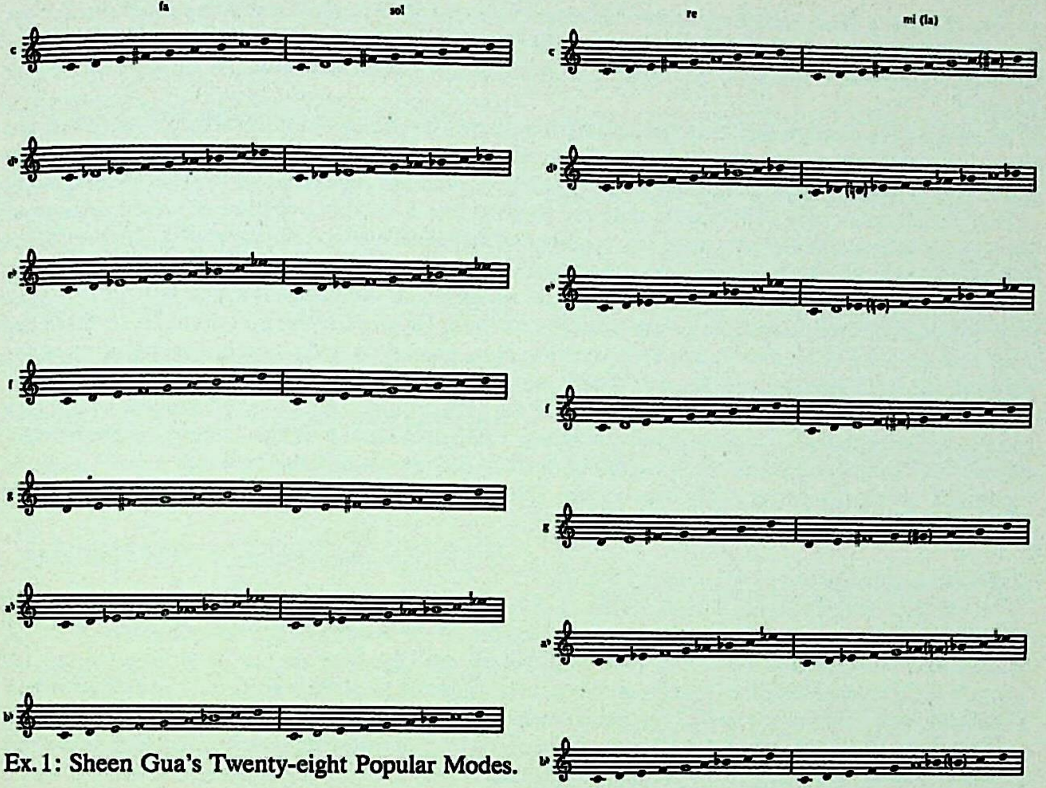
*For the sake of precision, I have used the tonal spelling system in romanizing all Chinese words (see Y.R. Chao, *Mandarin Primer* [Cambridge, Mass., 1948], introduction) except in dynastic names and in certain personal names where the orthography in English is already established.

[1] I have deliberately avoided relying upon the use of Chinese technical terms as much as possible in this paper because, like the Western terms in this area, the Chinese musical terms throughout history have not been rigorously defined and discriminately used in writings. For example, the word *diaw* alone has been employed for many meanings. One could make a list of Chinese terms and propose only one definition and an English equivalent for them, but this will unavoidably lead to endless discussions that would simply compound the issues in the present discussion. (See the comments by M.Y. Liang in the Study Session summary transcript.)

[2] See R.C. Pian, *Sonq Dynasty Musical Sources and Their Interpretation* (Cambridge, Mass., 1967), Chap. II. Consult this book on all works of this period mentioned in the present study.

[3] There is a question as to whether the fourth category were really mi-modes or (with the adoption of an alternate note) simply la-modes transposed down a fourth. See Pian, *Sonq Dynasty*, pp. 51–55.



Ex. 1: Sheen Gua's Twenty-eight Popular Modes.

meaning of the term "initial" is never made explicit and surviving musical examples of the Sung period are by no means clear and consistent in showing what the initial might be.[4]

Some of the names in Sheen Gua's list of 28 modes are traceable at least as far back as the 6th century A.D. The six modes still used in the Japanese court music (*gagaku*) today, which came from China during the Tang dynasty (sometime between the 7th and 10th centuries), are practically identical in name and content with six of the Sung dynasty modes.[5] Writers have debated the origins of this modal system in China. At least in part, the influence of Central Asian music during the first millenium A.D. cannot be denied. Such modal names as Parnsheh-diaw (*pañčama*) and Dahshyr-diaw (*kaiśika*), point to a Sanskrit origin.[6]

The specifications of the Sung dynasty modes were fairly closely followed by some conscientious composers. There were lyrical songs and ritual songs by the 12th-century poet-musician, Jiang Kwei; there were also Confucian ceremonial songs dating at least also from this period which not only survived but had become the standard, very closely imitated, in all subsequent dynasties.[7] From time to time there may have been some minor discrepancies in modal prescriptions for the ceremonial songs (see below). Nevertheless the general idea of following a given list of notes and a prescribed finalis, remained the same. This kind of ceremonial music is still performed today in Taiwan[8] and South Korea.[9]

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[4] Pian, *Sonq Dynasty*, p. 8. James Legge's interpretation of the terms *Jyy Shaur* (Melody in Re) and *Jyue Shaur* (Melody in La) from a passage in the Classic of the 4th century B.C., *The Works of Mencius*, as "tunes or pieces starting with the notes re and la," is completely unfounded (*The Chinese Classics* Oxford, 1894, II: Book I [2], iv, 10).

[5] There is a similarity in the grouping and the pitch relationship among the modes. See W. P. Malm, *Japanese Music and Musical Instruments* (Rutland, Vermont, 1959), p. 101.

[6] Hayashi Kenzō in *Swei-Tarng Yannyueh-Diaw Yanjiou* (Studies on the Modes of "Entertainment" Music in the Sui and Tang Periods) has made a detailed study, showing the origin of these modes. Pub. in Chinese only, trans. by Guo Mohruoh (Shanghai, 1936). Shigeo Kishibe has made a very comprehensive survey in "A Historical Study on the 28 Modes of the Popular Music in the T'ang Period," dealing more with the development in China, in *Tōyō Gakuhō* (Reports on the Oriental Society), XXVI (1939), Nos. 3, 4, and XXVII, No. 1.

[7] For some examples from the 14th, 17th, 18th and 19th centuries, see Yang Yinnliou, *Jonggwo Inyueh Shyygang* (Outline History of Chinese Music) (Shanghai, 1944, 1952), pp. 194–201.

From the 11th through the 14th century, there were also more popular musical forms that made use of modal contrasts as an artistic device. There were narrative songs with an elaborate system of constantly changing modes called literally, "Medley of Modes (*Jugongdiaw*)."[10] The Yuan dynasty drama, which dates only slightly later than the Medley, had a fixed convention of modal sequences. The typical four acts of the play were set to groups of melodies in four different modes. This sequence of four modes was very consistent, and it has been observed that the Yuan dramatists had made use of it to play on the expectations and surprises of the audience for dramatic effect.[11]

Whether or not the modal prescription for the music of these narrative and dramatic forms of the 14th century were to be interpreted in exactly the same manner as in the ceremonial music or poetic songs of the 12th century, we can not say for sure, since there is not any music surviving in these genres.[12] The modal descriptions by Sheen Gua of the 11th century, and by Tsay Yuandinq of the 12th century are exceptional in their preciseness among Chinese musical writings. Other possible kinds of modal considerations, such as the recognition of tonal centers–tones towards which a piece of music constantly gravitates–rather than dependence solely upon the finalis, can only be conjectured or discovered through analysis.

2. *Transposed Scales*

As early as in the Classic, *Lii Jih* (Book of Rites) of the 1st century B.C. we see the mention of transposition. Eventually the idea became combined with the mode system. The question of the 12 pitches within the octave also dates back long before the Christian era. From writings in the 3rd century B.C., we find detailed description of the calculation of 12 pitches by the cycle-of-5ths method (although there are archeological evidences showing that the system could have existed much earlier).[13] Another concern of the early theorists was to generate a heptatonic fa-scale from every one of the 12 pitches in the octave. Each scale thus formed is named after the pitch which has served as the generating note. (Such a generating note is, of course, different in concept and purpose both from the finalis in a mode and from a tonal center, as discussed above.)

The transposed scales have been considered by the Chinese theorists in two ways. One is to let the generating note always be the lowest note of the scale, and build the scale upward as far as necessary. This is the less common of the two found among Chinese theoretical writings. The clearest, and probably the earliest example of this view is in the works of Tsay Yuandinq of the 12th century A.D., who in his system of modes made use of a set of scales that cover altogether a range of two octaves (see Example 2).

The other method, which is the more common one, also begins the fa-note on every one of the 12 pitches. However, all the notes that go outside an octave compass are doubled back into it. It means

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[8] See for example, the report, *Jih Koong Lii-Yueh jy Gaejinn* (On the Reform of the Ritual Music in the Confucian Ceremony), Pamphlet pub. by the Committee on Ritual Music in the Confucian Ceremony (Taiwan, 1969).

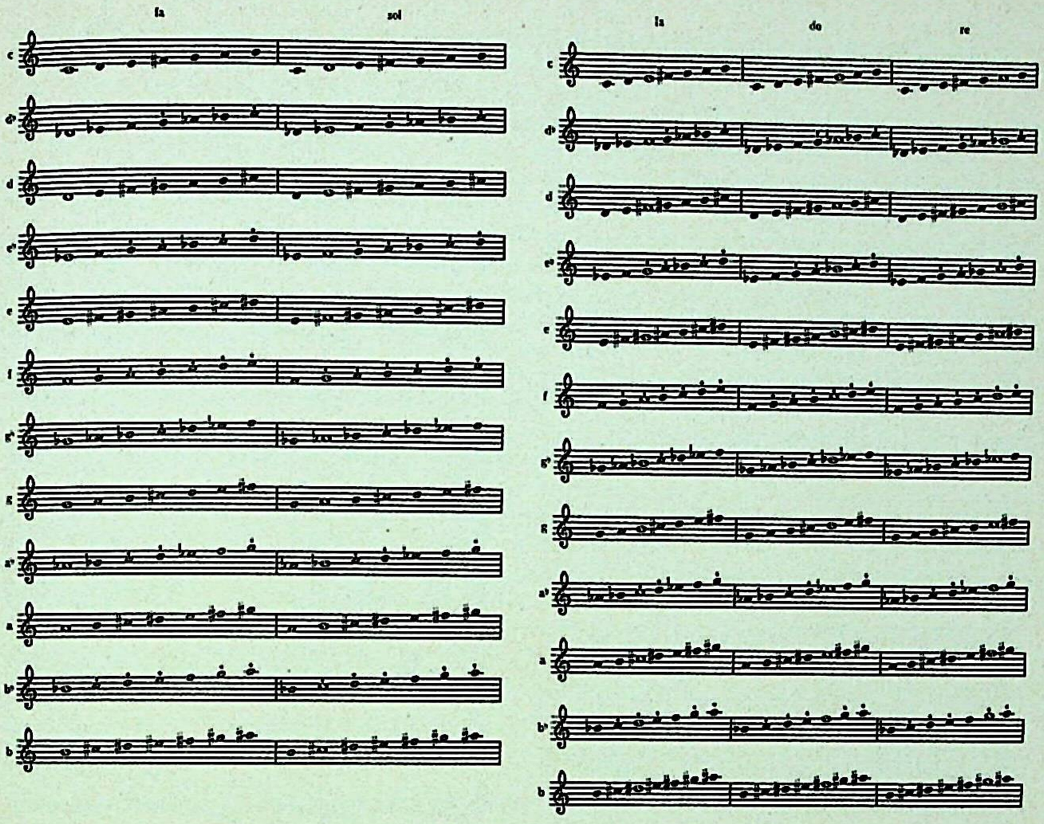
[9] See Sŏng Kyŏng-rin, "The Confucian Temple Music," in *Survey of Korean Art: Traditional Music*, Chap. V (Seoul, 1973). See also Lee Hye-ku, "Music in the Confucian Shrine of Korea with Comparisons to the Current Situation in China," trans. by Robert C. Provine, Jr., in *Essays on Korean Music* (Seoul, 1976), pp. 361–372.

[10] Two of the four works in this genre that are at present still extant wholly or partly have been translated and studied, one by M. Dolezelova-Velingerova and J. I. Crump, *Ballad of the Hidden Dragon* (Oxford, 1971), and the other, by Li-li Ch'en, *Master Tung's Western Chamber Romance* (Cambridge, 1976).

[11] See Hugh Stimson, "Song Arrangements in Shianleu Acts of Yuan Tzar jiuh," in *Tsinghua Journal of Chinese Studies* (Taipei, 1965) vol. 5, in which he has made a survey of the modal schemes of 160 Yuan operas. He also analyzed in detail the tunes within the first acts of all these works. See also Bruce E. Brooks, *Chinese Aria Studies* (Diss. 1968, Univ. of Washington, Seattle) in which he has studied the modal schemes of 30 Yuan Operas in connection with the plot developments.

[12] In the 81 chapter anthology of dramatic songs with music notation, *Jeou Gong Dah Cherng* (1746), some pieces are said to be based upon Yuan dynasty sources. Although this is not impossible, they have not been conclusively verified.

[13] See R. C. Pian, "China: Theory," in Apel's *Harvard Dictionary of Music*. For a fuller discussion on this subject, see Joseph Needham, *Science and Civilization in China* (Cambridge, 1962), IV, 1, Physics-Sound, pp. 157–228. On the possible earlier date see F. Kuttner, "The Science of Music in Ancient China," *High Fidelity* (August, 1955), pp. 32–34, 81–82.



Ex. 2: Tsay Yuandinq's Sixty Modes using the series of eighteen notes.

that in total, the notes used for the 12 heptatonic fa-scales are only selected from the same set of 12 notes. The ambitus for the 12 scales are approximately the same (from the hypothetical c or c ♯ to b-flat or b). Only the fa is constantly shifting position, with the result that each of the 12 heptatonic scales has a different number of notes above and below the fa-note from which it is generated. This kind of transposition in effect only applies to the generating note; there is no substantive change of compass for the over-all scale.

If in turn any one of the seven notes in a heptatonic scale can be the finalis, each scale can potentially produce seven modes. When the fa-note is the finalis, it is a fa-mode; when the sol-note is the finalis, it is a sol-mode, etc. In theory seven different finales in each of 12 possible scales yields a total of 84 modes.

The mention of a certain "84 *Diaw*" appeared as early as the late 6th century A. D. The account of how the number "84" is arrived at is highly suggestive: On each pitch there can be constructed a series of 7 notes. If each note establishes a *diaw*, there can be seven *diaw*. With 12 pitches, this would make a total of 84 *diaw*."[14] Here we do not know whether the note that "establishes a *diaw*" is in fact a finalis, or a generating tone, or a note that would somehow have an important function in a piece of music. Furthermore the account is presented as a hypothetical calculation, expanding the new system of modes introduced into China from Central Asia, to a logically complete form. It does not reflect the actual recognition, let alone the practice of such a system.

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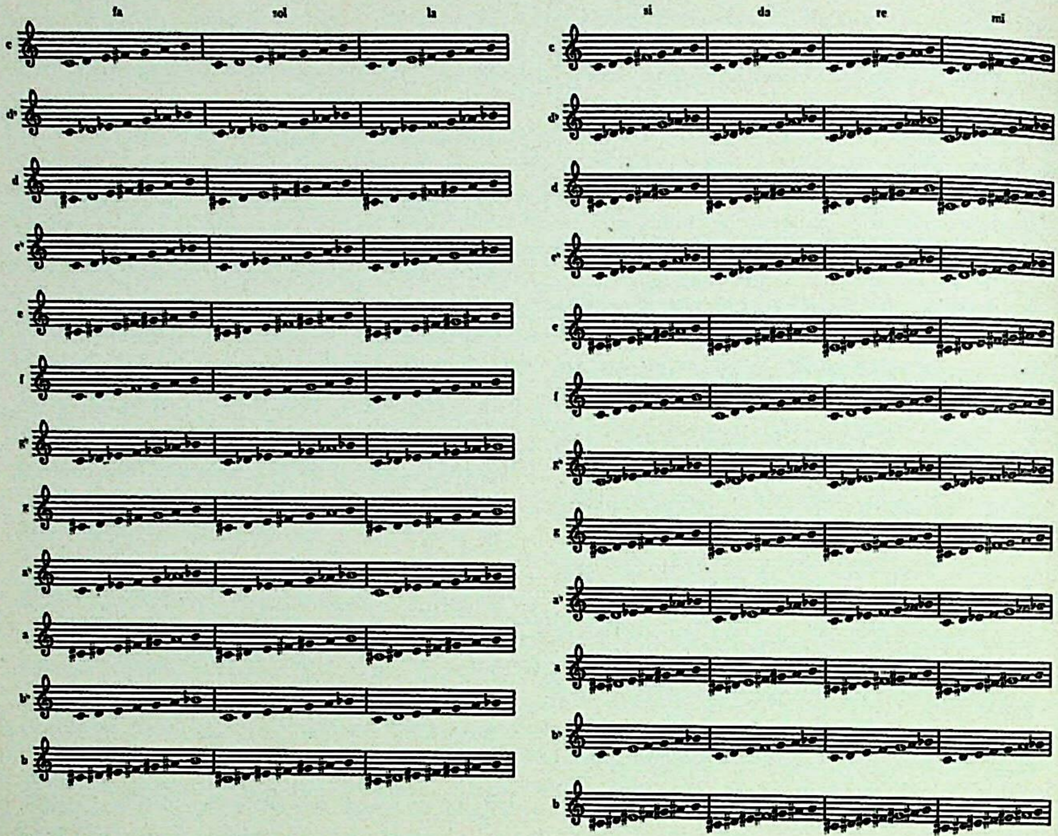
[14] See "Essay on Music," in Chap. 14 of *History of the Sui Dynasty*, compiled by Wey Jenq et al., 7th century. Among modern authors who have discussed this topic are Hayashi Kenzō, *op. cit.*, pp. 54–55, Yang Yinnliou, *op. cit.*, pp. 173, 177, and Cheung Sai-bung, *Historical Studies of Chinese Music* (in Chinese), I (Hong Kong, 1974), p. 166.



Ex. 3: The Eighty-four Modes from *Shyhlin Goangjih* and *Tsyr-Yuan*.

Tsay Yuandinq of the 12th century, who defined his modes in unambiguous terms, used 12 identical scales beginning on 12 different pitches (as mentioned before). All his fa-modes have their finales at the bottom of the scale, the sol-modes, the next note above, etc. However, he preferred to omit all the si-modes and the mi-modes, hence his total system has 60 modes.[15] In the 13th century we finally see a full description amalgamating the concept of the finalis with the other concept of transposed scales (which doubles everything back into one octave) into a System of 84 Modes, as they appear in at least two treatises (see Example 3).

In looking at the available compositions roughly contemporary with the Sung modal systems, we can see that Jiang Kwei (mid-12th century) in his ritual and poetic songs did explore with one pitch more than the seven used in the 28 Popular Modes of the 11th century. He also experimented with one more mode, the do-mode.[16] Shyong Pernglai of the 13th century went as far as composing his ritual songs on every one of the 12 pitches; he also used, besides the fa-, sol-, la- and re-modes, the extra, do-mode.[17] However, both Jiang Kwei and Shyong differ from the 13th century prescription in that they use notes beyond the first octave. Their final notes sometimes agree with those in the theoretical system, but often when the theory calls for the lower note as the finalis, they used the octave note above, which was closer to the earlier practices of the 28 Popular Modes.

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[15] *The History of the Sui Dynasty* shows that in the 6th century there was already theoretical debate as to whether all seven notes of the diatonic scale, or only five (omitting mi and si) should be included in the construction of what seems to be a system of modes. With five notes this would result in only 60 modes.
In the philosophical work of the 2nd century B.C., *Hwai Nan Tzyy* (Chapter III, "On Astronomy"), there is a mention of "60 *in* (tones)." Although they are obtained by multiplying the five tones, fa, sol, la, do and re, by the 12 pitches, it is not at all clear whether or not the discussion in this context concerns modes. Needham, *op. cit.*, p. 161, calls them "mode-keys," without any explanation.

[16] Pian, *Sonq Dynasty*, pp. 38–126.

[17] *Ibid.*, pp. 188–230.

After the Sung dynasty there was little new added to this system of modes in theoretical writings. Just as the Neo-Confucian philosophy of the Sung period, which in itself was innovative, became the model for the conservative Confucianists for many subsequent centuries, the scholars who discussed modes in later centuries constantly refer back to the Sung system for authority. The same set of modal names continued to be used in vocal music–correctly or incorrectly[18]–for a long time. As time went on, however, the lists of modes became shorter and shorter. Actually even the system of 28 Popular Modes, which included the fa-, sol-, re- and la-modes in 7 keys, was to a great extent theoretical. The la-modes were the first to disappear; then the re-modes. By the time of the Yuan drama (14th century) there were already basically only the fa- and the sol-modes, in several keys.[19] The surviving operatic libretti of the Yuan dynasty, as well as that of the subsequent Ming dynasty (mid-14th to mid-17th century), indicate both the names of the modes and that of the individual tunes. These tunes which are used repeatedly set to different texts, will be discussed in further detail. Like the Yuan examples, there is no music preserved in these Ming libretti.

We know that in the earlier period–Sung dynasty–modal labelling also had a practical use in performance. While there was musical notation written down, modal designation was still necessary in order to read it, and to make decisions on certain pitch selections.[20] Possibly it also helped in deciding on the instrumental tuning and intonation,[21] and even in melodic embellishment, which is an issue to be discussed below. It is not known how long such modal labels were used and exactly for which purposes, at various times. At a certain stage, it may even not be much more than a preserving of a tradition. Towards the middle of the 18th century, while the tune names are still regularly written in the various operatic libretti, the modal names are omitted.[22]

3. Melody Types

The theoretical system of modes, which reached its fullest development in the Sung dynasty, specified for each mode only the list of notes and the finalis. However, some actual music surviving from the Sung period shows further characteristics reflecting what we could call the use of Melody Types. For example, we find in the poetic songs and *chyn* music of late Sung that pieces nominally in the same mode–that is, with the same specification of notes and finalis–also share common melodic fragments.[23]

The most obvious evidence of some kind of theoretical concept of Melody Types seems to be the *chyn* (zither) music of the Ming dynasty (1368–1644). In brief, there are numerous *chyn* music collections from this period which group the pieces under the modal names: fa, sol, la, do and re. However, there is at the head of each group, rather than an abstract definition for the category, a short prefacing piece of music which seems to contain the characteristic features of all pieces under this modal group, such as the typical melodic fragments, the clusters of simultaneously sounding notes, and including even the typical sequences of finger movements. Such a short piece usually ends with a section in harmonics, which also concentrates on some of the typical tones in this group. These short pieces are labelled as the *yih* (idea, essence, meaning, affect, etc.) of such-and-such mode. (Hence the generic term, *diawyih [tiào-ì]* as used by many authors.)[24]

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[18] Shyong Pernglai himself was already confused about the modal names. Pian, *Sonq Dynasty*, p.189.

[19] Since the fa-mode was often confused with the do-mode (possibly because of the unstable fourth degree, which is a separate issue not discussed here) modern writers, e.g., Hugh Stimson and Bruce Brooks (note 11), simply refer to the fa-mode and the sol-mode as the "Major" and "Dorian" modes.

[20] There were ambiguous symbols that have different readings depending on the mode of a particular piece. See Pian, *Sonq Dynasty*, p.60.

[21] In his survey of the Cantonese Opera, Bell Yung has found (and reported orally) that the shifting from one mode (called *sin*, in the Cantonese Opera nomenclature) to another actually affects the intonation by the fiddlers and the singers of certain notes in performance.

[22] The *Jeou-Gong Dah Cherng* and the *Nahshu-Yng Cheu Puu*, both of the 18th century, are among the last dramatic song collections that indicate both the mode names and the tune names. Some of the background information on this topic is supplied to me by Isabel Wong Capwell, who is presently surveying the early collections of the Classical Opera, *Kuencheu*, in her dissertation.

[23] See comparison chart in Pian, *Sonq Dynasty*, p.37.

In a detailed study of many different sets of such *diawyih* from the Ming works, it has been found that while they are all different, those belonging to the group with the same modal name are largely consistent among themselves in melodic structure. On the other hand, each group is quite different from the other groups, e.g., in the kind of ornamentation, typical intervals in the melodic progression, and the overall structure, etc.[25] Modal groupings of this kind also depend in part on diagnostic tones. The diagnostic tone (or tones) of a mode are simply the notes towards which a melody constantly gravitates, hence they may be called tonal centers. Such tonal centers are not necessarily the initial or final of a piece, or the lowest note in a scale. To rely on such tonal centers as part of the definition of a mode seems to be more typical of Melody Types.[26]

Apel has defined Melody Type in his *Dictionary* as "... a repertory of traditional melodies, melodic formulas, stereotyped figures, tonal progressions, ornamentations, rhythmic patterns, etc., that serve as a model for the creation of new melodies." He further notes that the *rāgas*, *maqāmat*, *echoi*, etc., of Hindu, Arab, Byzantine music, etc., serve as "models which prescribe not only a scale with a given ambitus and center tone–as does a mode–but also typical motifs and tone progressions." Indeed both the relationship among the various *diawyih* of the same modal category, and the relationship between a *diawyih* and its own following set of *chyn* pieces show the principles of Melody Types behind their construction.[27]

A much more thorough investigation is needed to see exactly how widespread is the phenomenon of Melody Types, both in time and among the different kinds of Chinese music. There could also be a great variety in the degree of affinity to a model. Already we see that in *chyn* music these short preliminary pieces have several purposes. To sum up the conclusions of the several recent studies (see note 24), these *diawyih* are a technical guide as well as a spiritual inspiration; they have been used for practical exercises as well as for signifying a kind of ceremony; they are a microcosm of the compositional technique of the music in a particular group. Toward the latter part of Ming, these *diawyih* appeared less and less in the *chyn* books. However, the concluding sections, or codas, which are usually in harmonics in the later *chyn* works, resemble closely the sections in harmonics of the Ming dynasty *diawyih*. According to Van Gulik, "...while the *diawyih* prepares the player and the hearer for the mode of the tune that is going to follow, the codas are retrospective and, as it were, resume in one single passage, the entire spirit of the mode to which the tune played belongs."[28]

Along with these concrete models of Melody Types, we find also, for example in the Ming works, verbal descriptions prefacing the individual pieces, suggesting their particular character. Although the descriptions are mostly impressionistic, they mean to serve as practical guides to the players and listeners. For example, rhythm as a rule is not indicated in the traditional tablatures. But the general rhythmic and temporal characteristics are often suggested in these preambles. Frequently there are even descriptive subtitles guiding the player from one section to another.[29]

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[24] The topic of *diawyih* (or *tiao-i*) has received much attention. R.H. Van Gulik, *The Lore of the Chinese Lute* (Tokyo and Rutland, Vermont, 1940, 1969), Chap. IV, has made many insightful observations on this. David (Ming-yüeh) Liang has transcribed a few examples and made a brief study in "A Study of *Tiao-i*, The Meaning of the Mode," in *Asian Music*, VI (1975), pp. 173–188. Charles Spining has transcribed and studied in detail the styles of these short pieces in different modes, from nine different Ming dynasty collections (Master's thesis, Boston University, 1975: *Ming Dynasty Handbooks for the Ch'in–An Examination of Tiao-i–Idea of the Mode*). Yoko Mitani, in her article "An History of the Tuning of the Ch'in," in *Journal of the Society for Research in Asiatic Music*, Nos. 41–42 (August, 1977), pp. 1–26, touches upon the topic in connection with the tuning system of the instrument. Cheung Sai-bung, who attributes the term *diawyih* to Yang Tzoan of the 13th century, suggests that this practice may have been borrowed from music for the lute (pyiba), and that this term was originally used to refer to the system of tuning rather than the abstract concept of a mode (*op. cit.*, II, pp. 393–6).

[25] Spining, *op. cit.*, pp. 50–52.

[26] There is not a Chinese technical term for "tonal center." There are only sporadic descriptive passages that seem to suggest the idea. For example, the 2nd B.C. work, *Shyy Jih* (Records of the Historian) by Symaa Chian, Chap. 86, mentions such terms as fa, sol, la (or even si) etc., the intervallic relationships of which were by this time, fairly well established, in a context that seems to use them to characterize certain pieces of music.

[27] Spining, *op. cit.*, p. 44.

[28] Van Gulik, *op. cit.*, p. 87.

[29] All these verbal prefaces are collected in the huge *chyn* bibliography: *Jiann Tzay Guuchyn Cheu Chwanpuu Jieetyi Hueybian Chugao* (Draft Compilation of the Names of All Existing Chyn Melodies in the Present Day, With Bibliography of Sources and Annotation), III, ed. Ja Fuhshi (Peking, 1956).

One might say in a broad sense, the tradition of Melody Types is still extant because of the fluidity still found in *chyn* music. The 160-odd *chyn* books preserved today were compiled for various reasons. Some are instruction books for beginners, some are abbreviated reminders for players. Others are preservations of special, personal interpretations. Although they all contain complete pieces none of these is to be considered the definitive version of a *chyn* piece. The latter day players who reconstruct ancient pieces from tablatures are only continuing a recreating process–partly from written tradition and partly from oral tradition–that has been going on for a long time.[30]

4. Tune Types

There is one element in Apel's definition of Melody Types which might be modified in the case of Chinese music; we should probably elevate his "repertory of traditional melodies" to the status of a separate category. This I shall call the system of Tune Types. Such a Tune Type exists in the mind of the listener in a much more coherent form than a Melody Type. It is usually identified by a proper name, and is easily immediately reproducible. At the same time, the listener is also ready to accept numerous potential variations of it–often not even realizing that two versions are different. A Tune Type is fairly stable not only in the overall structure but even in the forming of the lines and phrasing, including the placement of the text syllables in a metrical framework. This structural stability could be due in part to its association with a text and/or dance. In most cultures this Tune Type category applies to music of folksongs and ballads. While this is equally true in China there are also many theatrical and narrative genres, performed by highly skilled professional artists, in which the music also belongs to this category.

The typical text structure of the Chinese popular narrative and dramatic songs of recent times basically has lines with a fixed number of syllables. Such a line is usually also arranged into a constant number of syntactic units. The most frequent melodic as well as textual stanza consists of a pair of such lines, and the concept of the tune is more like a framework of so many slots. Looking at it in another way, each slot contains a segment of melody of a fairly fixed length. When there are variant melodies they are also divisible into slot-length segments. The composer-performer has an option of several melodic segments for each slot, and with this he has the means to adjust to the linguistic tones of the words as well as other prosodic details; he can select the appropriate segment for wordpainting and for other special needs of emphasis.[31]

The Tune Type also allows a certain amount of melodic expansion. However, this is usually fairly localized in a predictable place of the text.[32] The departure seldom lasts very long–possibly due to the strophic nature of the text, which constantly brings the piece back to the original structural framework. Yet the musical expansion usually originates from textual variations, and there is a repertory of melodic variants, already familiar to the listener, available to fit the appropriate text. This kind of melodic expansion is very frequent in operatic arias, and is especially pronounced in certain types of narrative songs.[33]

The fundamental virtues of Tune Types are that they are flexible and yet have strong identity. The same tune can be fitted quickly again and again to different texts; the whole work has musical coherence but is not monotonous. Maintaining identity, the tunes can be used for symbolism for narrative and dramatic purposes.

The 30-odd Peking Opera Aria tunes[34] are a good example of symbolic use of tunes. It is true that the character of each tune owes much to its rhythmic features. Nevertheless the average listeners (and even many librettists) are by no means always conscious of such technical features. The recognition of each tune, with its emotional or dramatic association is direct, not by going through a rational, analytical process. These tunes are broadly but fairly regularly applied at certain dramatic situations, or for symbolizing certain human characters and mood, such as lyricism, composure, excitement, rhapsody, etc. The plot and dramatic situation may be different from play to play, and the tune as actually rendered might be varied each time. Yet the Tune Type is recognizable. If not, the symbolism would be lost.

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[30] This kind of recreating of *chyn* pieces is known as *daa-puu* (literally, to obtain from the notation). Among present day *chyn*-players who work in this area are, e.g., Goan Pynghwu in Peking, Lui Tsun-yuen of UCLA, Cheung Sai-bung of the Chinese University of Hong Kong, etc.

[31] R.C. Pian, "Text Setting with the *Shipyi* Animated Aria," in *Words and Music: The Scholar's View*, ed. L.Berman (Cambridge, 1972), pp.237–270.

[32] There is a detailed study by Bell Yung of textual and melodic variants of this kind in the *Arias of the Cantonese Opera* (Doctoral diss., 1976, Harvard University), Chap.X.

[33] The Peking Drum Song is a good example. I have done a transcription of the vocal part of a short piece, "Boat Return in the Rain," as sung by Sheau Tsaewuu (Tientsin, 1962, M-110), which is available in *Shyan Way*, The Chinese Intercollegiate Choral Society Magazine, ed. K.F.Chou (Boston, October, 1970).

[34] Because of their consistent dramatic application I have called them Aria Types. The variety of these Aria Types are described in R.C.Pian, "Rewriting of an Act of the Yuan Drama, *Lii Kwei Fuh Jing*, in the Style of the Peking Opera . . .," in *Chinoperl News*, 2 (December, 1970), p.21.

5. *Summary*

Of the four points that I have discussed above, the second, the concept of transposed scales, is the furthest away from practical music. Nevertheless, much Chinese ink has been spilt on the subject by theorists, who also often are talking at the same time about "modes." The system of modes, which reached the height of its intellectualized development in the Sung dynasty (11th–13th centuries), has had great impact upon the history of Chinese music.[35] It has been important not only to theorists, but also to some composers, and to practical performers. The phenomenon of Melody Type, which is manifest most evidently in *chyn* music, could be very deeply rooted in Chinese music, although it is very little discussed in technical terms in writings. Greater freedom in Melody Types, as compared with the use of Tune Types, may very well require more skill in the creative process. The tradition of Melody Types is still alive, although perhaps in a limited way. At present there is a great amount of material yet to be examined from this point of view. The Tune Type is by comparison the most rigid in its prescriptions. In the hands of an imaginative creator the variant forms can sometimes be highly elaborate and ingenious. At other times, given a set of transformational rules, the tunes actually realized can be fairly predictable.[36]

These four features in Chinese music are of course not so neatly compartmented as a summary presentation makes them appear. As I stated in the beginning, they are interrelated, both structurally and throughout history. For example, it was mentioned above that in the 14th century the Yuan dynasty drama developed a scheme of four modes as a sophisticated organizational principle for the four acts. Actually within each act the individual tunes also comprised fairly consistent sequences. The dramatists' dependence on the audience's expectation could have been based upon such tune sequences just as much as on the modal sequence. Of course, both the dramatic impact of the direct association of the tunes, as well as the subtle suggestions of the more sophisticated manipulation of modal arrangements, could have been simultaneously enjoyed on different levels by different or the same members in the audience.[37]

Discussion

Powers: We have here this afternoon several people who were present this morning and who have indicated that they would like to comment on or add to what was presented more formally this morning. Let us begin with the matter of *maqām* and mode. Habib Touma is here from Berlin; his work is already familiar to us from his article in *Ethnomusicology* and from his dissertation on the *maqām Bayāṭi*, which has recently been published. It is probably no secret that he disagress with Jürgen Elsner on several points. Mr. Touma, perhaps you could begin by explaining your views and the nature of your disagreement.

Habib Touma: Elsner takes *maqām* from a "literary" point of view, by asking people what is meant by the word *maqām* and he develops a theory of what *maqām* is without dealing directly with the music itself. We differentiate in the Arabic musical world between *maqām* as a musical form and the *maqām* "row"–what you call in European terminology, "modus." But "modus" is only an abstraction from what we hear. To understand *maqām*, first you must know that there is an Arabian tonal system, a pool from which you choose seven, eight, or more pitches from which to realize the *maqām*, the form. Then we have the temporal, rhythmical aspect. In the *maqām* the music is free. There are no motives–as Idelssohn claimed. There is no strict rhythmical-temporal organization; how the *maqām* is realized is characteristic of the individual musician and does not belong to the *maqām* as such. The third element of *maqām* I call the form-building element, something completely different from European concepts of form–it is not phrase, or theme with variations, or anything like that. It is something like a phase, a tone-level, or in German *Tonraum*, which is realized on one pitch, and there is a hierarchy of pitches in the pool that we have chosen from the tonal system. A *maqām* is a musical form which stresses several pitches from within the *maqām* row or series–in German *Maqām-Reihe*–and reaches a climax in that space, without having a regular rhythmic definition. The *maqām* can be vocal, instrumental, or vocal accompanied by instruments or percussion.

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[35] On Chinese influence on Korea in the Confucian Ceremonial music of the 15th century, especially in respect to modes and transpositions, see R. C. Provine (dissertation, 1978, Harvard).

[36] I have once attempted to propose such a set of rules for one certain Aria type in the Peking Opera (Pian, *op. cit.*, p. 258, n. 31). They were tested with some rather interesting results in a recent paper by John Spitzer of Cornell University.

[37] Bruce Brooks has pointed this out very clearly (*op. cit.*, p. 24). See also Shih Chung-wen, *The Golden Age of Chinese Drama, Yuan Tsa-chü* (Princeton, 1976), pp. 185–189.

The scholar must deduce his understanding of *maqām* from the music itself, not from the musicians, who will tell you anything. Oriental musicians will always want to find an answer for you. So if you say, *maqām* is not the same all over the Arab world, still the phenomenon as such is the same all over the Arab world–the phenomenon of improvisation. The North Africans call it *ṭabʿ*, the Syrians or the Iraqis call it *taqsīm*, the Lebanese call it *layālī* when they improvise vocally, the Iraqis have their very sophisticated form they call *maqām al-ʿirāqī*, with three different regional styles. [Here Touma played a tape of freely improvised singing in the *maqām mukhālif* over a drum accompaniment.]

To sum up, the *maqām* is an improvised musical form which can be realized vocally or instrumentally with or without accompaniment; it is the realization of several phases, each expresses a tone level, and realizes some kind of arch in space, and reaches a climax, and with that the form is finished. Why? to express a mood or ethos. So, we have the form on the one side; on the other, the *maqām*-row, as you call it, "modus." So *maqām* is a musical form, what begins with silence and ends with silence. I see it in space, as I hear it, I don't see it on paper.

Powers: I take it, Mr. Touma, that when you speak of the Arab world, you do not include Turkey, Iran or central Asia. You are confining your remarks to cultures in the Arabic-speaking world. But of course this is part of a larger, Muslim world, where other people may use this word *maqām*, maybe in a different sense.

Dalia Cohen: I agree with Mr. Touma that we should look at the music, but you must ask the people too. If you ask all the people who perform, you will get hundreds of answers. If you'd like to know what are really the "rules" that govern this–sometimes they do not talk about things because, maybe for them it is obvious, maybe sometimes we can better understand from outside and compare–we must get some perspective. And–you'd be surprised–when I ask "what do you understand by mode or maqām?" I get many, many answers, and I have results from this. Mr. Touma makes it seem so simple, but it is not simple at all.

Touma: I can give you only one parallel. A form shouldn't be a square or a circle. You can take one drop of oil and put it on water and you'll have a form as well, even though it will change. This is what is happening in this improvisatory form. The form is not governed by motives or themes, which Europeans who are used to hearing form on paper always seem to think. This form is based on a series of phases or tonal spaces which are interpolated in space, and form an arch, and reach a climax.

Cohen: Do you have only one form? Could you define what you mean by form?

Powers: I think that Mr. Touma is using "form" in a general way, just that the thing goes up and goes down and makes an arch. He's not talking about dance form versus song form.

Touma: It is not necessarily an arch. The *maqām Bayāṭi*, for example, starts on d, then comes f, then g, then a as an intermediate phase, then the upper d. In *maqām ṣabā* it starts on d, then comes on f, but here you have the g♭ which colors this tone level, and it goes, so to b♭. It goes according to the hierarchy of central tones in that specific *maqām* "row" which is chosen as the starting point for the realization of the "form" *maqām.*

Elsner: Die Fragen, die Habib Touma aufgeworfen hat, berühren nur in gewisser Weise das Thema, das wir hier abhandeln. Vielleicht kann ich zunächst generell sagen, daß der Inhalt meiner Darstellung heute Vormittag gewesen ist, daß Maqām und Modus nicht zusammenfallen, daß für meine Begriffe eine gewisse Identität, keine volle aber eine gewisse Identität, eine gewisse Beziehung besteht zu dem, was er *Maqām*-Reihe nennt.

Ich habe natürlich nicht nur Leute gefragt – das wäre Unfug – ich habe übrigens auch musiktheoretische Traktate von renommierten Musikern der arabischen Geschichte, auch der Neuzeit natürlich, konsultiert.

Was mir wichtig scheint ist, daß man keine Bestimmung machen kann: „*Maqām*" ist das und das. Es kommt jeweils auf den konkreten, historischen – das heißt, zugleich also historisch im Sinne von Zeit und Raum – Kontext an. Der *Maqām*-Begriff ist ja nicht nur ein Begriff, der, wie Touma ihn hier dargestellt hat, also ewig existent ist, sich nicht ändern würde, sondern er hat sich in der Geschichte tatsächlich geändert und ist sehr unterschiedlich gefaßt in den einzelnen arabischen Ländern. Ich würde also ein Generalkonzept des *Maqām* nach allem, was ich weiß, nicht akzeptieren, auch nicht für eine begrenzte Zeit.

Powers: I think it only fair to say that what Mr. Elsner said this morning was very little of what he has written in the past on the subject of *maqām*; he was talking more to the question that *maqām* is not modus. Karl Signell, do you have something to say on this? Karl's very fine dissertation on the Turkish *makam* has just been published.

Karl Signell: I would like to tie together these three notions. I don't think there is really a disagreement. I would define *maqām* as practiced both in Turkey and in its closely related forms in the Arab countries as being–as far as form goes–an open-ended form which is a deliberately personal statement. It is a form in which certain characteristic elements such as the progression of tonal centers are used. Some elements are more important than others, though; some must be followed; others are discretionary. But when you come to the end, the listener knows what has taken place. It's not necessarily what is in the book, or what the performer did the week before, but it is recognizable as that particular *maqām.*

Eugenia Judetz: I would like to say that the description of the *maqām* concept works for other regions, not only Arab countries. The folk musicians of some regions of Europe–most of them gypsies–are applying this technique; for them the *maqām* is a style. It is a varied style of playing, an improvisatory discourse on a tonal framework.

Powers: Do these musicians use that word?

Judetz: Yes, If you ask them what they're playing, they say I'm playing the *maqām*, it is an oriental influence from the Middle East. There is a concept of a fixed *maqām*-"row," the tones to which the *maqām* can be reduced. As Touma has explained, *maqām* involves the movement of tones, the movement of planes, by pointing to and reaching some pitches, and coming back.

Lois al Faruqi: I think we might save ourselves a lot of struggle and pain if we went back to the Arabic terms. Instead of using terms such as form, tone level, phases, why don't we use the term *jins* for that tonal segment. Why don't we use the term *uslūb* or *sair al-ʿamal* for the kind of movement within the tonal row? Maybe if we use these terms which are indigenous to that music, it would save us fighting with each other over what these mean.

Touma: First of all, the word "*jins*" is not Arabic. It comes from Greek *genos*. The musicians say *marākiz*, which means centers; they say *miyānah* for the highest phase, and in a *maqām* there are two or three *miyānahs*; and the word *miyānah* is Persian. But I thought that for communicating with other musicologists that it would be enough to struggle with *maqām*, and not over *jins* or *uslūb* or other words we use.

Elsner: Ich kann mich natürlich mit der Bemerkung, die hier gefallen ist, daß tonale und bestimmte melodische Dinge einbezogen sind, schon abfinden, aber wenn wir Geschichte und Gegenwart der arabischen Musikkultur in ihrer Vielfalt betrachten, werden wir finden, daß wir hunderte von Erscheinungen haben, die mit diesem Begriff bezeichnet werden, ohne daß wir in der Lage wären, alles auf einen Inhalt und auf die gleichen Kriterien zu bringen. Insofern helfen uns zum Beispiel auch *jins* und *sair al-laḥn* usw. wenig, sondern wir müssen jeweils sagen: zu der und der Zeit, in dem und dem Land hat *jins* die und die Bedeutung bzw. die und die Merkmale usw. Wir müssen feststellen, daß dann später oder früher in der Geschichte der *jins*-Begriff eben eine andere Bedeutung oder eine weitere modifizierte Bedeutung gehabt hat. Das ist für meine Begriffe die Frage, die wir hier stellen müssen und nicht mehr, ob *Maqām* Modus ist oder mit dem Begriff des Modus zu fassen sei.

Powers: I am going to ask that the "maqam claque" set up a substudy session. I think that the discussion itself is its own illustration. I think to avoid spending the entire afternoon and most of the night and probably the rest of the week on this question, which obviously is as broad and deep as the mode question itself, we had better move to another part of the world. I would like to leap from the deserts of Arabia to the fertile valleys of the Far East. I would like to ask Tràn Văn Khê to say something about mode in Viet Nam.

Tràn Văn Khê: I think that terminology is a very controversial matter, even for the word *tiào* in China. We pronounce it "*diêu*" in Viet Nam, "*chō*" in Japan and "*jo*" in Korea. Once I met Lee Hye-ku from South Korea. I asked him what *jo* means in Korean. He said that it was very difficult because *jo* can be a scale, *jo* can be a mode, *jo* can be a tune, *jo* can be a song. He said that he could not reply to you with words; he must give an example. For us, "*diêu*" is the same thing.

First of all, in Viet Nam we have but two big "*diêu*," two big modal systems. We have *bac*, expressing joy, fantasy or solemnity, and *nam*, expressing serenity, melancholy and sadness. When I ask a musician what is *bac*, he plays [demonstrates]. To play *quang* we have the same tuning, the same scale. [Demonstrates.] What is different about *nhac* [demonstrates]. There is the same scale for both; scale is not enough to give us the main character of the mode. But, in Vietnamese *diêu*, as in any other concept of mode in the world, there is a scale. For Indian music, you must have at least five notes in the scale to have a *rāga*; for Arabian music–a Tunisian musician told me that you could have a *maqām* with five notes, but others say at least seven notes; for Vietnamese music, only three notes are sufficient to have a mode. [Demonstrates *nam*.] Three notes, but with ornaments.

This morning Rulan Pian talked about initial and final notes. In Vietnamese music, we don't consider the initial notes, but the final note sometimes is quite important. For *nam*, we can use only two notes [*hò*, *xang*] as final. Some notes are more important than the others; in Vietnamese music as a whole *hò* [c] is important; it is the note of reference. Second in importance is [*xang* = f], then [*xê* = g]; the others are not important. Thus we find a hierarchy of degree; *vādi* and *samvādī* in Indian music are more important than the others, like *shāhed* in Iranian music, which is more important than the *īst* or the *moteghayer*.

In Vietnamese music, in addition, ornamentation is very important. [Demonstrates contrasted ornamentation in various contexts.] We also have specific or typical melodic patterns [demonstrates a pattern found in *bac* but not in *nam*]. It is something like the *pakaḍ* in North Indian music, a typical melodic pattern which is used by the musician to signal the mode, for the audience to recognize the mode. And sometimes we have specific tempo too; for certain *diêu* we use a fast tempo, for others a slow tempo. And after that we have relations with a certain mood, or emotion or feeling. *Bac* mode is used to express joy; *quang* mode fantasy, *nhac* mode is solemnity, *xuân* mode is serenity, and *ai* mode is *oán* mode used for sadness. I would like to play for you two examples from the *bac* and the *nam* modes, one expressing joy, the other one serenity [plays parts of two short pieces]. I see that the concept of mode is a very complex concept; we can not give one parameter or characteristic, but several; it depends on the tradition. Second, mode is a dynamic concept. You can not say that in a mode you have this, this, this and that; those are the characteristics of the mode. If you want to have the mode, you must have the performance; you must have a musician to bring it to you. I remember asking an Indian musician, Mahmud Mirza, what is the *rāga*? He told me, "I used to ask my guru and he told me that the *rāga* is myself, because without myself there is no *rāga*." What I have talked about up to now–scale, hierarchy of degrees, specific ornaments and so forth–are like sugar, eggs and milk, but you don't yet have the cake. If you want a cake, you must have someone to make it. And so, for me, when I speak of mode, I think of the things which belong to theory and the other things that belong to practice. We must not think only of the theoretical or only of the practical. If we think of the two things together, we shall have a clearer idea of the mode.

Powers: Comprendre les modes ce n'est pas comprendre la musique elle-même, les modes sont le monde entière! We've come back to the problem we were at before; the difference between *bac* and *nam* is also fast, relatively unornamented and loud versus slow, very ornamented and soft. There is a tremendously long list of things that characterize it. Still, I notice that when Tràn speaks English, he uses the word "mode" to mean both *rāga* and *diêu*. I would ask him one question: how many *diêu* are there?

Tràn: We have two main *diêu* with three species for each one in the southern tradition. In the northern and the central traditions, we have others.

Powers: That is, in any one tradition, around six. How many *rāgas* are there in North Indian music?

Sharma: I know at least seventy-five.

Powers: Well, I can't believe that we're really talking about the same kind of thing when we're talking about six of them on one side and seventy-five of them on the other.

I would like to hear from Robert Garfias. Can you say anything specific to these questions from the Japanese or Burmese point of view?

Robert Garfias: It seems to me that we are talking about a number of different systems that have to be viewed in the context of the way they function in each culture. We have to think of certain aspects of mode as being an abstraction. Some of them are abstractions implied by theorists to make things simpler to understand. Like all theory, they become an end in themselves, and people begin to believe that theory is absolute and begin to define practice in terms of theory, rather than using theory as a way of better helping to define what is actually going on in practice. In certain cultures there is, hand in hand with practice, a rather elaborate theory that is in the minds of the musicians who perform and keep the traditions alive. There is a danger that the theory becomes so elaborate that it becomes a tradition of its own. In Burma there is something going on there which is very complex, and yet there is no specific word for mode. There is a specific word for each particular mode, but no generally abstracted title or name. I wouldn't now be able to tell you exactly how many modes the Burmese use, but I came up with something like eight to ten. Each time somebody would play something, I would say, "What is that?" and I would be given another name; there was no abstract list.

Some of the things that Judith Becker said this morning have made me think about the relationship of specific–let's use the word "mode" for the moment–mode types in connection with the theater and with periods of time. In Burmese theater music, the musicians have to retune and play compositions according to the original tuning or setting of the piece they are playing, and that is defined by what is going on on stage, so that they have to change modes regularly at any point if they are required by the drama to do a particular piece, which is very different from what goes on in Java at least, where the *paṭet* changes with the period of time. It strikes me as interesting, however, that when the Burmese orchestra plays alone, separate from the theater, they do in fact follow a rather clearly defined division of three basic tunings: for the beginning of the evening, for the middle part of the night, and then for the last part of the night. There is a fourth that goes on before the first one begins, for the junior musicians to warm up, and for the ceremonial part of the performance. Judy seemed to be saying that [the *paṭet*] was defined by theater; here we have an example that is not culturally very remote, where the definition exists outside the context of the theater.

Powers: Do you mean tunings?

Garfias: I'm avoiding that word, because we get into this complication with *rāga* which is more like mode.

Powers: Yes, but you started off using "mode," but as soon as you were talking about something specific, you immediately used a very specific term, namely "tuning." I at any rate have no difficulty visualizing a scene where somebody is doing something to an instrument which is going to cause the collection of notes which that instrument can make to be different from what it was before.

Garfias: Well it has ramifications in mode, though; it is a mode.

Powers: But I don't know what you mean by "mode." You say the Burmese have no word for "mode," and you haven't told me what you mean by it, so I'm kind of lost on that.

Garfias: It seems to me that with *rāga*, mode is almost defined as an abstracted melody.

Powers: Wait a minute. There is no such word as "mode" in any Indian language that I know.

Garfias: Well, whatever the practice is then–are you saying that we shouldn't use the word "mode" at all?

Powers: Well, suppose we took an oath not to use that word. Would we be able to talk?

Garfias: I couldn't about Burma, and yet it exists.

Powers: And yet, as soon as you started talking about when they change the tuning for a particular part of the drama or when they have a sequence of tunings in a fixed order which goes by time period in the day, then you used a word "tuning," and I think we'll have no argument about what it means. So I think something has happened here in our talking which illustrates what our problem is.

Becker: It seems to me that in Burma the practice is the opposite of that in Java. Garfias was saying that you change the tuning of the instruments–as part of what happens, you change the mode–according to the situation in the drama. That's very different from Java where, in fact, the mode is defined by the section of the drama; in fact that is sometime the clearest indication of what the mode is. Within a given section of the drama in Java you have many different *rasas*, emotional situations. You may play a lot of different *pieces* within that block, but they are all within the same *paṭet*. It is almost the obverse of the Burmese situation.

Powers: Mr. Garfias, if you were to ask a Burmese if there were an equivalent for *paṭet*, would you get anywhere?

Garfias: As tunings, I could see a parallel with the Indonesian *sléndro* and *pélog*. When I asked the musicians, some could say immediately that these three are similar in one way, and those three or four are similar in another. But others would say only that each one has its own individual character.

Powers: Tràn, can you draw any parallels between *bac* and *nam* and *sléndro* and *pélog*? You have two things there too, with opposed sets of characteristics of pitch, but in Vietnam there is also loud/soft, slow/fast, and so on.

Tràn: Somewhat, but not exactly. The scales are different. Once an Indonesian heard me play *bac* mode, and he said it sounds like *sléndro* but it's not correct. And we have in Central Vietnam another scale which is very near to *pélog*, and which belongs to the *nam* mode. When I played it for the Indonesian musician he said it sounded like *pélog*.

Powers: I started off here with the idea that maybe the opposition between *nam* and *bac* was something like the opposition between *sléndro* and *pélog*. What I am getting now is that there are some specific pitch-like resemblances, but that the oppositions are really not the same kind of thing at all. You've shown how *bac* and *nam* differ in sound, but you've also said there's a real difference in feeling between *bac* and *nam*. There isn't such a difference in feeling between *sléndro* and *pélog* as such is there? Doesn't one go with one kind of *wayang* and the other with another?

Becker: That's true, but there also are affective qualities. For instance, *sléndro* is felt to be more straight-forward, more masculine; *pélog* is felt to be somewhat feminine. I think this has to do with the psychological effect of the intervals. In *pélog* there are both small and large intervals; in *sléndro* they are more equal. *Pélog* they sometimes say is coquettish or melancholy, but it always has that kind of flavor, whereas *sléndro* is felt to be straight-forward, honest and up-front.

David Liang: I'd like to say a few words as continuation after Rulan Pian's presentation this morning. It was remarked by Powers, prior to the presentation by Pian, that there are few publications on the concept of mode in Chinese music in the official languages of the IMS Congress. It was further implied that the Chinese word *tiào [diaw]* which is the same character in different pronunciations that appears in the music of other East Asian cultures, is the East Asian equivalent to the word "mode" in the West. Obviously "mode" is not a Chinese word, and therefore we have to identify what are the similarities, if we are to identify an indigenous name as having some correlations with a word we understand as "m-o-d-e."

Powers: I'm glad you said that, because "m-o-d-e" is certainly not being used in its original European senses any more.

Liang: Although it is true, and regrettably so, that there are few writings on the concept of Chinese "mode" in European languages, it should, however, be pointed out for the sake of further research in this area that there are numerous publications concerning the Chinese concept of "mode" in the Chinese language. For example, the contemporary works of Yang Yin-liu, Li Ying-hai, Wu Nan-hsün, Wu Pao-hua, Ch'en Ming-chih, and Lo Che-yüan are just a few of the sources concerning the musical, structural, and historical implications of "mode." The "mode" has been a subject of constant scrutinization by musicologists in China and elsewhere, e.g., the significant studies of "mode" meanings in the Sui-T'ang period (6th–10th century) by the Japanese musicologist Hayashi Kenzō. The use of the word *tiào* as being equivalent and/or comparable to the English word "mode" is somewhat misleading and since Pian's paper did not elaborate on the Chinese concept of "mode" beyond that of the *tiào*, perhaps a few remarks might lead to a broader perception of the "mode" concept in Chinese music. [These remarks deal only with the question of *diaw* and other Chinese terms; they are not concerned with Pian's discussion of Melody Types and Tune Types.]

Tiào is only one of at least seven primary concepts that are related to the English word "mode" in its various textual/contextual and applied/theoretical usages in Western music. These seven concepts of "mode" in Chinese music are: *yīn*, *chǚ*, *tiào*, *yün*, *ch'iāng*, *shēng*, and *lǜ*. [writes on the blackboard]

Pian: You're certainly opening Pandora's box there!

Liang: Well, we have to do it some time. Elsner talked about functional relationships, tonal-hierarchical relationships, and also, norms. All mean different things, but all are contributing to something we recognize in the West as "mode." So also, there are all these different Chinese concepts, and *tiào* [*diaw*] is not the only thing that is equivalent to mode. To give only a brief description: (1) *yīn* identifies the melodic norm, the gravitational pitch component, and conceptualizes the emotional quality of pitch(es); (2) *chǚn* is a tuning "mode" concept, related to instrumental music, and often identifies a given key; (3) *tiào* is a pitch hierarchical concept and identifies the concept of a given key; (4) *yǜn* is a phonologically related concept that correlates speech inflections with musical tonal expressions (the Chinese language being tonal); (5) *ch'iāng* identifies the regional "mode" style; (6) *shēng* is a timbral concept by which certain given pitch(es) in a pitch hierarchy are emphasized; and (7) *lǜ* is an acoustically related concept that determines intervallic relationships. Of these seven "mode" concepts, *yīn*, *lǜ*, and *shēng*, for example, had already been recognized since ca. 6th century B.C., as in the reference *Tso-chuan* which mentions five *shēng*, six *lǜ*, and seven *yīn*, although, admittedly, their full implications are not exactly known. These seven Chinese concepts of "mode" when combined in pairs such as *shēng-yīn*, *yīn-yǜn*, or *yīn-tiào*, etc., approach still another level of mode concept. Furthermore, the meanings and functional applications of these seven concepts vary according to specified time and space criteria not to mention the variations inherent in regional music and their idiomatic manifestations of particular genres.

For further studies it is important the "mode" should not be confined to *tiào* alone, and that, at the very least, one will hopefully be able to identify which particular Chinese "mode" concept is being referred to since "mode" in English is an abstract term referring to multi-implications of musical and extra-musical sonic movement in space and structural components. The detailed study of the Chinese concepts of "mode" will surely entail many years of collective scholarship, and my comments serve only the purpose of awareness.

Powers: I think we should remind ourselves that for each and any of these seven terms that you say all have something to do with "mode" there are individual equivalents in the *termina technica* of other musical cultures, too. As Elsner was also saying, it is essential to define carefully what one is talking about: which region, which time, which word, and which thing it refers to. When we talk about something specific we don't have trouble, but as soon as you say "mode" in connection, say, with Chinese music, I at least don't really know what is meant . . .

There are great temptations either to make instant generalizations from field work you have done to some scientific concept, or conversely, to abstract from your own methodological training a set of postulates for designing scientific concepts, which you will then go and look for in your field work. Both are necessary, but they must be kept in balance and always in the conscious mind, so that you always concentrate on the specific thing you are talking about, however small. A scale may be musically uninteresting, but at least you can measure it; what a musician tells us about what he is doing may be difficult to understand, but we can think about it, and ask him questions about it. Somehow we have to try to bring such things together, using only those preconceptions which lead to fruitful results.

Now, the hour is late and I think we should have the last word from the culture which gave rise to the term we have been discussing this afternoon, that has been giving us so much difficulty. I'll ask Calvin Bower for his impressions about our discussion. He is not only the English translator of Boethius but also has some acquaintance with non-European music. But I'll ask him to speak here and now as a specialist in medieval theory of music.

Calvin M. Bower: I'm afraid to use the word "mode" after all this.

Powers: You can use it in the West because that's where it belongs.

Bower: It's sort of like the word *jins*; it's not an English word; it's a Latin word. Be that as it may, I want to speak to the process of definition of mode in the Middle Ages. This morning we talked about open and closed concepts of mode: mode as description, or mode as category; mode as practical, mode as theoretical; and then Charles Atkinson used the terms qualitative and quantitative. There was as much tension in the Middle Ages, developing the very concept of mode as it came out in the 12th century, as there is here today. I was going to say a few things about the sources and their evolution, but let me skip that. We historical musicologists have a great deal to do on the concept of mode in the West. We have been blessed as well as cursed by the 19th century concept of critical editions. When we can find an *auctoritas* to edit, someone like Guido or John Cotton, someone with a name, we do so. There remain literally hundreds of treatises addressing the problem of mode that are unedited. I cite three examples. Montecassino 318 is a large collection from Italy which contains numerous treatises on mode, treatises from the most formative period of that concept in the Middle Ages, and we don't know what they say yet. The Biblioteca Vallicelliana in Rome, B 81, is another large collection of treatises, most of which address the problem of modality. Venice, Biblioteca Marciana Latin CL 820, is also a large collection. In these treatises the struggle with the concept of mode in the West can be vividly read, and in these treatises one sees a move from one side of the polarity that Harold Powers set up this morning to the other side of the polarity. One sees a move from an open concept of mode to a closed concept of mode, from mode as descriptive to mode as prescriptive or categoric, from a qualitative concept of mode to a quantitative concept of mode. Very briefly, the cantor described four qualities of songs that he had to sing. If you asked an 8th century cantor, how to sing the first mode, he might sing [aGFGFED] and sing an antiphon in the first mode and then give you a list of all the chants that sound the same way. That's what a tonary is. A tonary is an open-ended work. One just needs to look at the manuscript to see them added in the margin to see how open a tonary is. But, this process was replaced by a very narrow concept of mode as octave species. How did it get there? I think the answer to this transition lies in answering questions that will be found in the treatises in the manuscripts that I mentioned and many others.

One other point that I want to make here is that Boethius and quantitative arithmetic seem to have been unknown in the Middle Ages before the late 8th and 9th centuries. The early Middle Ages had no mathematical vocabulary to talk about music, with the minor exception of Cassiodorus, Isidore, and perhaps Martianus Cappella, and the mathematical theory in these sources is hopelessly naive. In the ninth century, there came in a model of objective thinking about music, namely Boethius, and from this model, vocabulary is drawn.

Now, here are three questions that I would want to address myself to in terms of the development of mode in the West. First, when, how and why did the word *modus* replace the word *tonus*? When did *modus* come to dominate musical vocabulary? Guido, for example, refers to "*modos quos abusive tonos nominant*," modes which are wrongly called tones. Well, they had been called nothing but tones in the earliest tonaries; the very word *tonary* comes from the word *tonus*, which is a way of naming a class of chants. Why did this change take place? Was it not an attempt to be able to talk more concretely, more categorically about groups of the repertoire?

Secondly, when and how were pitches from the Greater Perfect System assigned to groups of chants? Here we are dealing with the whole concept of systems coming into the Middle Ages, along with the use of alphabetic nomenclatures. There were various approaches to the use of the alphabet to objectify musical pitch, and in objectifying musical pitch, to define notes upon which chants may end or begin. This is the first stage that we seem to see of the objectification of modes, namely, no longer saying that the first mode is [aGFGFED] but that the first mode ends on D, or ends on the *lichanos hypaton*, which was a major step in the development of medieval notions of mode.

Thirdly, finally, when and how did *species* [of consonances] become prescriptive rather than descriptive? In Venice CL 479, in talking about the first mode, the writer says that the first mode begins on the *lichanos hypaton*. It ascends eight notes and then *ad nonam pro misericordia*; it can go up to the ninth "for mercy." There is no definition by *species*, but he uses a *species* [the octave consonance] to describe the range; the range doesn't fit, so he adds the other note *pro misericordia*. Approximately a hundred years later, in Avranches 237, we have a similar passage where the first mode begins on the *lichanos hypaton*, that is, D (by that time the alphabet had become rather fixed), and then he says, it can go *ad nonam pro necessitate*. We have gotten away from *misericordia* and come to necessity. But after another hundred years, modes are no longer described as going to the ninth at all; the first mode is being described as the fourth *species* of *diapason*, namely from D to d, and all of you know that that by no means fits the chants in the repertoire.

What is the drive, then, for us to talk about mode today? We can also ask, what was the drive for the theorists in the Middle Ages to tighten up a descriptive definition into a prescriptive definition? These are questions that I want to answer.

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